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AUTHOR Fry, Bernard M.; And Others
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ABSTRACT

Current conditions and trends in government publications at the Federal, State, and local (municipal, etc.) levels with respect to use, bibliographic control and distribution of such publications are analyzed. A research design for a comprehensive study project which would produce specific recommendations for nationwide action aimed at more effective bibliographic control and distribution, and enhanced accessibility and use, of government publications is presented. Part I gives a summary of the principal conclusions and recommendations of the report and provides general introductory, historical and background information about the report itself. Part II deals with common aspects of the problem areas (use, bibliographic control, and distribution) of government publications that permeate all three levels of such publications. Part III is a discussion of the three levels separately in terms of the same problem areas in order to examine particular manifestations at each level. Part IV presents the Design Study's recommendations and recommended research design for a comprehensive study based on the presentations, analyses and evaluations in previous parts of this report. (Author/NH)

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Final Report

Project No. 49-353-12
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A Research Design for a Comprehensive Study of the Use, Bibliographic Control, and Distribution of Government Publications

Bernard M. Fry, Miles A. Libbey,
Géza A. Kósa, and Joseph C. Meredith

Research Center for Library and Information Science
Graduate Library School
Indiana University
Bloomington, Indiana 47401

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U.S. DEPARTMENT OF
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Abstract

This report presents a research design developed under contract with the U.S. Office of Education as proposed by the RSD/RTSD Subcommittee to Draft a Study Proposal on State and Federal Documents of the American Library Association's Public Documents Committee. The Subcommittee consists of representatives of the Reference Services Division (RSD), the Resources and Technical Services Division (RTSD), and the American Association of State Libraries (AASL). The report analyzes current conditions and trends in government publications at Federal, State, and local (municipal, etc.) levels in respect to use, bibliographic control and distribution of such publications. It presents a research design for a comprehensive study project which would produce specific recommendations for nationwide action aimed at more effective bibliographic control and distribution, and enhanced accessibility and use, of government publications.

Key words: research design, government publications, Federal publications, State publications, municipal publications, public documents, documents, use, bibliographic control, distribution

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PART I

INTRODUCTION

This Part, the first of four into which the report is divided, first presents a summary of the principal conclusions and recommendations of the report. It then provides general introductory, historical and background information about this report itself, the project that produced it and the steps leading to that project's establishment. Finally, it expounds the approach taken by the project.

SECTION I.A. SUMMARY

Government publications pose pressing problems to which solutions are urgently needed. Large-scale wastes of time, money and energy occur regularly because information available in government publications is not used. In the future, the cost of failure to use information available in government-produced publications will very likely escalate as government agencies at all levels undertake increasingly important roles in coping with critical social and environmental problems.

This report discusses current problems associated with the use, bibliographic control, and distribution of Federal, State and local government publications, and advances a research design for a comprehensive study aimed at developing recommendations for dealing with them. The Research Design Project which resulted in this report was funded by the U.S. Office of Education, Bureau of Research, of the Department of Health, Education and Welfare and conducted by the Research Center for Library and Information Science of the Indiana University Graduate Library School. Motivation and rationale owes a great deal to the earlier findings and recommendations of the RCLIS/RTSD Subcommittee of the Public Documents Committee (American Library Association, with direct participation of the American Association of State Libraries.)

First, the three problem areas (use, bibliographic control, and distribution) are analyzed as to factors pertaining to all three levels. Then the three levels of government are analyzed separately in the light of both common and peculiar manifestations of the same or related problems.

A system-as-a-whole approach is recommended, with stress on the development of viable subsystems. Openness toward the exploiting of new methods and new technology in solving some of these massive problems is also urged.

A comprehensive study effort is the logical first step in bringing about better utilization of the total government publications resource. The outlines of such a study, as to research methods and tools, participation of advisory groups, panels, and consultants, and an estimate of the timing, manpower, and funding appropriate to so vital an undertaking, are detailed. The basic recommendations, without comment, are listed at the end of this section.

The prevalence of uncertainties and areas of ignorance requires a preliminary phase of "system" description ("system" here referring to the existing state of affairs, however unsystematic and unknown it might be) and problem definition before embarking on the extensive and costly data collection effort that is needed. Following the main data collection phase a final phase is required to develop a workable system or systems on the basis of the knowledge developed during the first two phases. Thus a three-phase structure is dictated for the study project. These phases are discussed in the next three paragraphs.

No data collection effort, surveying or interviewing were provided for in the development of the research design. A principal conclusion of the research design study was that much more knowledge about the existing state of affairs was necessary in order to have any reasonable assurance that the principal data collection effort or the comprehensive study could be rationally designed. Without such further knowledge, there would be an unacceptably high likelihood that too little or no attention would be given to problems and areas which might later prove pivotal or, on the other hand, that an undue amount of resources would be expended on problems or areas of relatively little importance to the overall picture. A duration of six months for Phase I is recommended.

Phase II will comprise the bulk of the data collection efforts. Reasonably conventional interviewing and questionnaire techniques will be employed for the most part, together with the seeking of advice from the Advisory Committee, panels, and consultants. A data gathering effort by cooperating libraries and information centers during this period is also planned. The duration recommended for Phase II is nine months.

While most if not all of the actual analysis of returns from questionnaires, interviews, etc., will be completed as a part of Phase II, a specific period is needed in which these separate analyses will be interrelated and interpreted in the light of the overall problem and its various interconnecting aspects. Based on these understandings and on as much advice and consultation as possible, a separate effort must be undertaken to develop, as the final product of the comprehensive study, final recommendations in the form of a system design or designs that will be specific and detailed enough to allow their immediate implementation by any organization or organizations with funds and willingness to implement them. These recommendations should include, where appropriate, recommendations for model statutes and other regulatory material. A national plan of this mag-

nitude and complexity will need a very broad base of support. This can be obtained only through a maximum of direct communication and interaction with those whose interests will be most affected. In order to bring about a consensus that the "comprehensive study" has, in fact been truly comprehensive, and that the final recommendations will be acceptable, reasonable and adequate, special provisions for such communication and interaction are considered a necessary part of Phase III.

The main recommendations of the research design study project are listed below without comment. These are developed and discussed in the body of the report.

Recommendation No. 1 A comprehensive study of the use, bibliographic control and distribution of Federal, State and local government publications should be undertaken as soon as possible.

Recommendation No. 2 The study project should adopt and maintain a system-as-a-whole viewpoint and approach towards government publications, differentiating types, levels of government, etc., where appropriate, but proceeding on the premise that there is, in some useful sense, one overall system, whether formalized or not, or identifiable or not, which acts on, and affects, all government publications and the information in them from the moment they are generated.

Recommendation No. 3 The study should include consideration of innovative techniques having present or near-present or near-term potential bearing on the objects of its concern, including, but not limited to, computer technology, interactive network facilities, and forms of optical, chemical, aural, electronic storage, transmission, and retrieval of information. The Study Group should feel free to commit, in its recommendations, to innovative techniques whenever these appear to be within reasonable bounds of cost and time to implement. (This recommendation does not extend to the conduct of, or participation in, any engineering studies.)

Recommendation No. 4 The Study Group should employ whatever data collection methods are deemed necessary and suitable in order to develop an adequate data base with emphasis on correspondence, questionnaires, interviews, and on-site visits.

Recommendation No. 5 The detailed listing of questionnaires, interviews, etc., given in Appendix A. should be adopted for planning purposes and as initial guidance for the Government Publications Study Project.

Recommendation No. 6 The Study Group should have recourse to competent consultants to help assess the implications of its findings and to formulate specifications for model laws, systems, procedures, etc., bearing on bibliographic control and distribution of government publications at all levels.

Recommendation No. 7 The Study Group should develop and maintain liasion with major organizations and agencies, both within and without the government, that have basic interests in the control and/or distribution of government publications.

Recommendation No. 8 The Study should be planned and scheduled for accomplishment in three phases:

Phase I - System identification, definition, and description; Development of sources; Pre-test data collection. (6 months)

Phase II - Main data collection and analysis. (9 months)

Phase III - Recommendations; interaction with concerned agencies (user and producer group) to develop national plan and identify steps for implementation. (6 months)

Recommendation No. 9 The principal product of the Study should be a Final Report presenting system design specifications and other recommendations necessary to actually implement a practicable system for the bibliographic control and distribution of Federal, State and local government publications. Other reports should be issued by the Project as necessary to discharge its responsibility to communicate its results to interested parties.

Recommendation No. 10 The Study should be funded in the range of $340,000 for a period of about 21 months for maximum effectiveness. Staff size should be expected to vary during the course of the project from 4 to 8 persons (or their equivalent).

SECTION I.B. PURPOSE, SCOPE, AND ORGANIZATION OF THIS REPORT

1. Purpose

The purpose of this report is to present a research design for a comprehensive study of the use, bibliographic control, and distribution of Federal, State, and local government publications.

The reason for developing a research design before proceeding directly to establish a study project lies in the size and complexity of the total problem, for which no outright solution can be envisaged at this point. Rather, one is convinced by this same size and complexity that only the most carefully formulated approach to it can succeed. The several problem areas within the total problem need to be better identified and defined than they are now. Decisions have to be made as to what kind of a project is needed, how big it should be, what methodologies it should bring to bear, the nature of collaborative arrangements required, and how soon it should be expected to produce firm recommendations. Until such determinations have been made, it is not reasonable to expect commitments either as to funding or as to performance.

By carrying out a research design study as a preliminary step, it has been possible to use an objective approach to the task of problem definition, taking into account differing viewpoints as to what needs to be done and how to go about it. Furthermore, this report will serve as a basis for further discussion, enabling interested persons to review and assess the issues, and to contribute their suggestions during the formative stages of the Government Publications Study Project itself, before its contractual terms are finalized.

By the same token, a design study of this sort can serve to highlight problem elements which are not especially well articulated in the literature and which may be overlooked even by persons generally conversant with the field.

2. Scope

One of the reasons why a full-scale Government Publications Study Project has not previously been undertaken is that the corpus of such a project - that which must be dealt with - is so vast and so complex. Another is that it has burgeoned so rapidly. The few attempts to treat the problem have been limited mainly to specific aspects, which in themselves have loomed large enough to merit substantial effort.

For example, a pilot national center for collecting

state publications in education (EDSEP) was established in New York State three years ago. Some of its functions were recently transferred to Oregon where its future is uncertain. A similar effort was undertaken about four years ago by Phi Delta Kappa for collecting, processing and disseminating educational reports produced in or by local school districts and councils. This latter effort seems likely to be superseded by the ERIC program for disseminating educational research reports. Other limited plans for distribution of relevant reports have been undertaken in specific areas such as the handicapped, agriculture, rural health and vocational education.

Librarians have been mainly concerned with the immediate and pressing problems of coping with local administration of their document collections rather than with the broader issues of full access to government publications of all kinds. Such efforts are not deprecated: in fact this report is to a large extent the result of their initiative. However, one becomes increasingly aware of areas which are not at all well covered, areas which will be subject to mounting pressures for improvement in order that inherent potentials for public benefit can be realized. Such areas may be variously identified according to originator (Federal, State, and local governing agencies), subject area (physics, agriculture, education, health, etc.), operational aspects (use, need, bibliographic control, distribution, etc.), form (monographs, series, serials, pamphlets, announcements), types of access (examination, loan, hard copy, microcopy), and so on. No limited set of these aspects provides the holistic view needed for a balanced and comprehensive approach to the total problem, and we have felt obliged to accept all these and more in the purview of this design study in order to achieve a suitable perspective.

Consistent with the definition of government publications given by Congress (44 U.S.C. 81a), the range of documents considered herein is taken to be any "informational matter which is published as an individual document at Government expense or as required by law" with an extension of "Government" to signify (for our purposes) domestic civic governing bodies at all levels. At the same time we have adopted the following practical exclusions:

1. Trade publications of state university presses (but catalogs, yearbooks, etc., would be included).
2. Directives intended solely for internal administrative use.
3. Intraoffice and inter-office publications and forms.

Whether these or other exclusions should stand is a matter to be determined early in the study project itself. Such decisions will affect later data collection efforts.

3. Organization of This Report.

After reviewing in Section I.C. of the Introduction the historical, organizational, and technical background leading to the establishment of the present design project, we discuss in Section I.D. a number of options that were available to us in approaching the design problem, together with the rationale for proceeding as we have.

Part II provides an analysis of the three problem areas which are to be the particular concern of the Government Publications Study Project: use (extended herein to "uses and needs"), bibliographic control, and distribution. Sections A, B, and C thereof consider the commonality of aspects of these problem areas, as they apply to all three levels of government publications.

Part III recombines these aspects in the separate contexts of the three government levels. (See diagram at the end of this subsection)

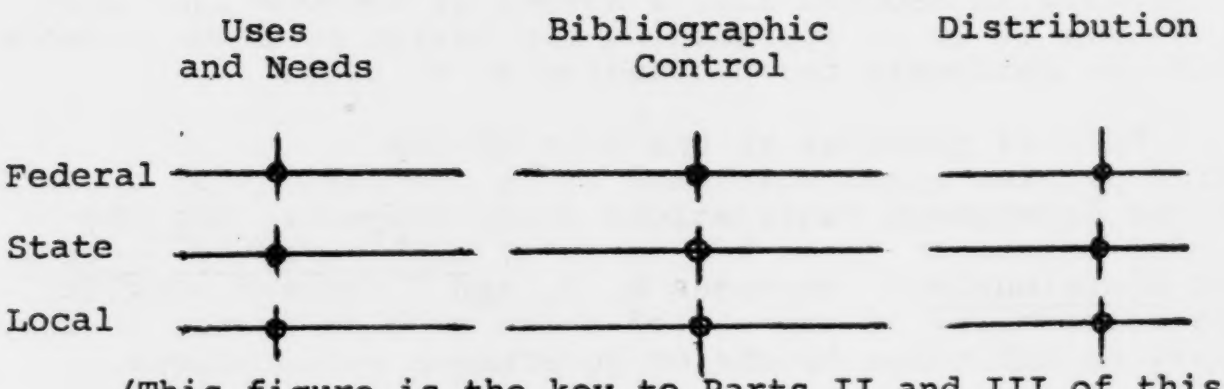
Part IV conveys findings and research design recommendations based on the analysis set forth in Parts II.& III.

4. Terminology.

Design Study	The project reported herein.
Government Publications Study	The project for which this study advances a design.
Government Publications Study Group (GPSG)	The grantee or contractor who would carry out the Government Publications Study.
Depository	Unless otherwise specified, a de jure designation.
Federal level) State level)------ Local level)	Unless otherwise specified, the level of published material, (literature) according to originator.
Problem Area(s)	Unless otherwise specified, one (all) of the three areas designated in the title of the Design Study project: Use(Uses/Needs) Bibliographic Control Distribution

Problem Sector

One of the nine intersections of Problem Areas with Levels illustrated below:



(This figure is the key to Parts II and III of this report)

SECTION I. C. BACKGROUND

1. The Significance of the Problem

Currently, the element of greatest significance in the use of government publications relates to social, environmental and ecological data, especially at the local level. Indeed, as Shannon has pointed out, there seems to be a domestic information gap that impedes rational solutions to urban ills: "At a time when urban boundaries merge within vast metropolitan areas and crises and their solutions are endlessly duplicated among our cities (there are) great difficulties encountered in the exchange of locally generated information and plans" (Shannon 128)

Broadly speaking - - and certainly oversimplifying - - we can, for present purposes, think in terms of two kinds of government publications. The first kind includes all those primarily concerned with, or reasonably directly related to, the conduct of government. Many, perhaps most, of these will be of immediate interest only to the person or organizational unit to which they are addressed. Eventually, they may be of interest to a variety of others, and for a variety of reasons, including historical, statistical, judicial, sociological and investigative. To the extent that the former is the case, that they are of only specific and evanescent interest, they will not concern us at this time; there are far more pressing issues to be attended to. To the extent that they may become interesting to others they must be considered by any really comprehensive study project.

The second kind includes all other government publications. These will include all those produced for the education or edification of the people and the results of researches and general investigations other than those specifically initiated and addressed to an operational requirement. It is this second kind which will be of primary concern, since with them there is a far greater intrinsic problem of getting them to the persons and organizations that need them - - or that might be able to make some use of them - - than with the first kind.

One example from each of these should suffice to establish their significance. For the first, if records of various departments of various municipalities were readily available - - by which we also mean identified and organized in some fashion - - they should be invaluable to the study of housing, urban development, transportation, violence, drug use, etc. For the second kind, consider research reports. Though one hesitates to add one more reiteration to the existing plethora, it must still be remembered that we cannot tolerate a situation in which billions of dollars

of the public's money are spent on research yet the results of that research are not readily available to those who might put them to work!

2. The Nature of the Problem

That government publications are fundamental to our democratic way of life goes without saying. What is not so widely appreciated, however, is the fact that, bearing this fundamental nature in mind, a large percentage of our government publications simply are not available - - they are in a sad state of mismanagement, or perhaps better, lack of management. Witness the statements made by the staff of the Library of Congress, which is to most intents and purposes our "national library:"

> "No library is now obtaining anything like a complete set of Federal, State and local documents. Coverage of government publications not from the Government Printing Office (GPO), many of them of great importance, has been especially poor. Only a portion of the issuances of the states is acquired, and the library has been able to do little with regard to local (city, county, etc.) publications. The coverage of the GPO's Monthly Catalog of U. S. Government Publications and of L.C.'s Monthly Checklist of State Publications is very incomplete. There is no comparable catalog or checklist for local publications.... The growing concern of Congress and the nation with state and urban problems makes a strong collection of such materials necessary for congressional use, even if there were not other compelling national reasons for their acquisition." (Knight 448-9)

More detailed and specific indications of the unsatisfactoriness of the government publications picture in general is given in various places throughout the remainder of the report.

3. The Size of the Problem

According to the Association of Research Libraries:

> "In the twenty-five year period from 1940 to 1965, federal government expenditures for printing increased from twenty million dollars to approximately 300 million dollars. In 1939, the government issued 32,500 publications. By the 1960's exact figures were no longer available, and estimates ranged from 100,000 to over half a million publications a year." (ARL 1)

The Government Printing Office (GPO) accomplishes about one hundred million dollars worth of printing a year. This output is available to the Government Depository Libraries. During fiscal year 1965 nearly six million copies

of Federal government publications were distributed by the GPO to over 600 Government Depository Libraries. In 1970 it is estimated this total has risen to eight million copies distributed to over 900 Depositories. However, about 60 to 65 percent of all Federal government publications are printed at about 350 printing plants of the various government agencies over which the GPO has no control and are not distributed to depository libraries. Therefore, the bibliographic control and acquisition of these publications pose tremendous problems to libraries.

The non-GPO produced publications include research report literature resulting from millions of dollars worth of research contracts with private firms or institutions. There is only fragmentary bibliographic control over these publications, and they do not usually get into depository library channels. The acquisition of many of these documents is of vital importance to libraries. This is illustrated by the attempts that have been made by non-governmental agencies to facilitate the acquisitions of such materials. For example, in 1967 the Documents Expediting Project had supplied to its subscribing libraries some 214,000 items through established channels and an additional 48,000 items in response to 11,323 individual requests. These non-depository government publications were not available by purchase at the GPO or at the issuing agencies. Nevertheless, even through the Documents Expediting Project only about 55 percent of the non-GPO produced publications of the Federal agencies can be made available to libraries. Another attempt has been the publication of microfacsimile copies of U.S. Government non-depository publications by Readex Microprint Corp. However, this enterprise covers only those publications which have already been listed in the Monthly Catalog.

The above statements were made with respect to the Federal Government alone. The problems associated with the acquisition of state and local government publications are by no means smaller. The responsibility for distributing state documents has been divided among a number of different agencies in the various states. Each agency has its own method of distribution and its own system for bibliographic control. The various state depository laws are in some cases not adequate to ensure that the required state documents are being deposited at all, much less that a sufficient number of copies is available at the agency responsible for their distribution. In one state, for this reason, 70 percent of the state documents cannot be distributed to other libraries. The acquisition of documents from other states is even more difficult. Less than half of the states distribute documents to other states.

The bibliographic control over local government publications is the least satisfactory of all. Recently there

has been a flood of Federal, State, and local government publications on various social and environmental programs, on housing and urban development projects, etc. Yet there is no systematic bibliographic control over these publications. One of the attempts to provide at least partial control over a small portion of these documents is being made by the Municipal Reference and Research Center in New York City. As regular features the Municipal Reference Library Notes includes lists of current New York City and other metropolitan government publications. However, the items in these sections cover only a small fraction of the important U.S. local government documents output.

4. Past Attempts to Deal with the Problem

The chaotic, inefficient and often expensive methods by which government publications are acquired led the American Association of State Libraries to plan a comprehensive study of U. S. Federal and State government publications in 1966. A broad outline of a proposal for such a study was drawn up in 1968 by a subcommittee of the Public Documents Committee of the A. L. A. The subcommittee consisted of representatives of the Reference Services Division (RSD), the Resources and Technical Services Division (RTSD), and the American Association of State Libraries (AASL). The subcommittee urged a thorough study of the use, bibliographic control and distribution of government publications because:

a. Government publications pose pressing problems to which urgent solutions are needed.
b. There is a need for planning national and statewide networks for the bibliographic control and distribution of Federal and state government documents.
c. No comprehensive study of government documents has been published since James McCamy's Government Publications For the Citizen. (McCamy)

At the sixty-ninth meeting of the Association of Research Libraries, on January 8, 1967, the Chairman of the Committee on non-GPO Publications, submitted "A proposed program to improve bibliographic control and distribution of government publications." He said that the ARL had to take a stand on the acquisition of non-GPO produced documents regardless of what steps other groups may take to insure full implementation of the 1962 Depository Library Act.

Since June, 1967, the Library of Congress has increased its efforts to insure that it will receive copies of all government publications not printed at the GPO. This resulted in some, but by no means complete, cooperation on the part of the increasing number of government agencies pro-

ducing documents.

5. The Background of the Present Effort

In 1966, The American Association of State Libraries began discussion of a proposal for a comprehensive study of government publications. Following the 1968 conference of the American Library Association, in January of 1969, a subcommittee of the Public Documents Committee (consisting of representatives of the Reference Services Division (RSD), the Resources and Technical Services Division (RTSD) and the American Association of State Libraries (AASL) drew up a draft proposal. As a result of deliberations by the subcommittee, Velma Lee Cathey, the Chairman, requested Paul Howard, a member of the subcommittee (and Executive Secretary of the Federal Library Committee) to contact the U.S. Office of Education with respect to possible funding support and Bernard M. Fry, Dean of the Indiana University Graduate Library School with respect to developing a research design. These contacts and further discussions led to the submission of a proposal by the Research Center for Library and Information Science of the Indiana University Graduate Library School (via the Indiana University Foundation). The proposal was funded in April, 1970, by the U. S. Office of Education for a three month effort, later extended without additional funds to a six month effort ending 30 September, 1970.

SECTION I.D. DESIGN APPROACH

This section concerns the approach taken in the development of the research design for the Government Publications Study. The approach recommended for the Government Publications Study itself is set forth in Part IV. The questions involved in the Design Study itself are paired below with the courses adopted.

1. Should all three levels of government publications - - Federal, State and local - - be accorded the same degree of attention in the research design?

It might be argued that because of the great disparity between Federal, State, and local practices in the preparation, issuance, and control of publications we should deal mainly with those at the Federal level, especially since support for the Government Publications Study will likely come from Federal or national sources. This has not seemed to us to be in accord with either the letter or spirit of the Design Study grant, nor is it justified when we consider that the problems at the local level, though of a different nature, are no less pressing and complex than those at the Federal level. All three levels have a direct bearing on the effectiveness of the nation's information resources. We have therefore chosen to treat all three categories of publications equally in the research design, each separately according to its peculiar characteristics and also as a part of the total problem.

2. Should the research design be organized around the Federal/State/local "trichotomy," or according to functions (use, control, distribution)?

Either of these simplistic approaches falls short of providing a suitable basis for the design of the Government Publications Study project. In combination, however, they give us at least the first approximation of a structure reasonably suited to the dimensions of the problem by suggesting a matrix of the type shown on page 10.

A natural way of presenting the analysis which entered into the design process is to discuss the functional dimension first, as we have done in Part II., but limiting the discussion to technical fundamentals and to the commonalities that seem relevant to the overall problem. Then in Part III. we examine the Federal, State and local situations in the light of both the universal functional attributes and those attributes which are peculiar to each of the three fields.

3. To what extent must the design be adaptable to various modes of sponsorship and support?

Several different organizations and agencies will undoubtedly become directly concerned with the Government Publications Study Project, and as they become concerned or committed, every effort must be made to clarify (on a continuing basis) their relations with the Government Publications Study Group and their involvement over elements of the study itself. The "interested parties" are categorized:

(1) those instrumental in the establishment and conduct of the project,
(2) those contributing to the financial support of the project, and
(3) those who may be significantly affected by possible changes resulting from the project.

The groups which have done the most to crystallize into action the beliefs and aims motivating the present research design study have been the American Library Association's Public Documents Committee and a subcommittee composed of members of the Association's Reference Services Division and Resources and Technical Services Division and representatives of the American Association of State Libraries. This group was designated as the RSD/RTSD Subcommittee to Draft a Study Proposal on State and Federal Documents.

Other groups and individuals in both the public and private sector have strongly concurred in the need for a full-scale study of the use, bibliographic control and distribution of government documents.

We anticipate that the groups and individuals enumerated in I.C. (Background of this Report) would continue their support of and participation in the Government Publications Study. In addition, we expect that the Study Group will be able to elicit the support (advisory, financial, and/or participating) of the national libraries, National Science Foundation, the Superintendent of Documents (GPO), the Office of Education, Federal agencies, the Council on Library Resources, regional and local agencies, and others with a direct interest in the availability of government publications. Naturally the research design described in this report has taken into account the likelihood of such broad participation and support, and specifies that the Study Group be prepared to utilize it to best effect.

4. What kind of product should be called for as the Design final output: information, conclusions, general recommendations, or specific recommendations on the basis of which substantive action could be planned?

One of the more concrete ways of specifying the objectives of a study project is to specify what its final product is to be. The basic choice seems to be between

1. A report of information gathered
2. A report of conclusions reached
3. A set of general recommendations to provide the foundations for future discussions.
4. A set of specific recommendations, sufficiently detailed that the responsible organizations could, at least in principle, put them into effect without having to change them.

Considering the magnitude, confusion, and complexity of the overall problem, and the urgent and critical need for major improvement, the study project would have no alternative but to assess all aspects of the problem and to make recommendations directed to their solution. To quote the 1968 statement of the ALA Public Documents Committee: "Government Publications pose pressing problems requiring urgent solutions."

5. Should the research design be organized on a modular basis or as a total integrated "system?"

In research design, the choice of a modular approach usually suggests itself in cases where the field to be studied has a history of stepped evolution, is at least superficially divisible, and has previously been studied only in one or another of its parts rather than *in toto*. A system-as-a-whole approach, correspondingly, suggests itself more readily in the case of a field which actually has very little history at all, has an aspect of unity, is subject to readily generalizable internal and external influences, and has previously been studied and written about as a totality. On the other hand, effective research sometimes succeeds precisely because the "natural" tendency is resisted and a conscious effort made to conceptualize unity between fragments and modularity in what appear to be a shapeless mass. Both polarities of both techniques, then, need to be tested.

In approaching the design study we wanted to avoid committing to any one mode prematurely, because that would have hampered later development of the design. As a result, we were able to formulate the kind of approach recommended for the Government Publications Study Project in Part IV, an approach that leans toward system-as-a-whole treatment while at the same time exploiting those modularities that are fundamental rather than merely nominal.

6. In what other ways may the design study approach presage the kind of approach which should be followed in the Government Publications Study?

The answer to this is that from the very beginning of the design study we have experienced, in minuscule, many of the problems which the Government Publications Study Group

is expected to encounter. There are two types of such problems, (1) those which concern the carrying out of the study grant or contract, and which should be discussed only briefly in the project report, and (2) those which revolve around the substantive portions of the research, which do need to be fully documented. Our approach to the design study required consideration of both types as they would evidence themselves during the course of the proposed Government Publications Study, since the design had to comprehend both the corpus to be studied and the procedures for studying it. In this report, however, the substantive difficulties are given the greater emphasis - not in the sense of complaining over the enormity of the total problem but in order to show ways in which various factors, forces, obstacles, information-gaps, etc., can and must be identified during the course of the study.

PART II

ANALYSIS BY PROBLEM AREAS

This Part deals with common aspects of the problem areas (Use, bibliographic control, and distribution) of government publications that permeate all three levels of such publications: Federal, State and local. It will be noted that we have extended the design requirement to cover "uses and needs," in order to fully examine the usage problem. We have also cross-connected the problem areas of "bibliographic control" and "distribution" with the term "accessibility," for reasons which will become apparent during the course of the analysis.

SECTION II. A. USES AND NEEDS

1. General

a. Users' Needs as the Primary Consideration.

It cannot be too strongly emphasized that any study project dealing with government publications must, above all else, be user-oriented both in design and implementation, and it is appropriate that the substantive parts of this report begin with a discussion of uses and needs. In this same vein the National Advisory Commission on Libraries has emphasized, when describing the role of libraries in national information systems, "an evolutionary development responsive to user needs whether it is simple interlibrary cooperation or a highly technical communications system." (Knight 498)

It should be noted that "use studies" and "user studies" may mean different things to different people. This should cause no difficulty for the Government Publications Study Group if only it is recognized and remembered. The chapter on information needs and uses appearing regularly in the Annual Review of Information Science and Technology provides excellent guidance to methods of analyzing the information-seeking and information-using behavior of the psychologically and sociologically complex person we think of as "the user."

b. Relation of Uses and Needs to Bibliographic Control and Distribution.

While we are constrained by the linear (or sequential) nature of language to treat one topic at a time, we must not lose sight of the fundamental interactions and relationships between uses, needs, bibliographic control, distribution, and other conditions and processes involving government publications. It is highly important that the Government Publications Study Group be attentive to these relationships and be prepared to measure and systematize them in order to achieve project goals.

c. Relations between Federal, State and Local Levels of Publication.

The users' usual unconcern with the source of his information acts to minimize the importance of any differences between Federal, State and local levels of published information. Therefore, most of the points that need to be made with respect to uses and needs, for the purposes of this research design, can be made with respect to all three together. Some minor exceptions will be treated in this section. Any significant differences will be treated in

Part III.

d. Relation Between Use and Need

Use and need are not the same. In the ideal case there should be some clear-cut relation between them. Such an ideal case is probably never realized except trivially. There are, on the other hand, many cases where there is no relationship between use and need. For example, a person borrows a publication, then finds that it does not relate to what he wanted. The Government Publications Study Group must keep this in mind and strive to measure - and react to - uses and needs for government publications separately whenever possible.

To further complicate the matter, needs must be distinguished from desires. What the user thinks he wants may not be what he really needs. This is a far more subtle problem than the uses/needs distinction, and cannot be afforded much of the Study Group's attention.

2. Effect of Accessibility on Use.

a. "Superhighway Effect."

All too often it is supposed that future or potential use of an information channel can be estimated reasonably well from observations or estimates of current use. This overlooks a phenomenon sometimes referred to as the "superhighway effect." The term arose when it was observed that the very existence of a new superhighway causes things to happen which in turn create intensified use of it and need for it which could not have been predicted simply on the basis of extrapolations from the pre-superhighway traffic flow.

b. Selection of Information Channels.

A related effect is evidenced when the user has two or more information channels available to him, and can choose between them. It appears that engineers and technologists, for example, tend to select their information channels on the basis of accessibility, independent of the expected value of the information provided. (Allen 6) If this should be generally true of other types of users - - something the Government Publications Study Group must judge - - it would have significant implications for government publications, since these contain much information not available elsewhere, and by choosing a more accessible channel the user would simply be depriving himself of needed information.

It can be assumed that, besides assisting the relatively small proportion of the general public who now value and

regularly use government publications, many more would turn to this information channel if the general accessibility of government publications were to be significantly improved. Such increased use would not only better exploit the available information but might also materially improve research performance and narrow the "generation gap" between research findings and their application to current problems. Were this sequence of things actually to happen, it must be supposed that they would exercise a further beneficial effect on the quality and accessibility of government publications, thus continuing a cyclic improvement.

"Accessibility," as used here, must be taken in the sense of overall ease of use. In general, need should lead to increased accessibility, which in turn (according to the above) should lead to increased use. Presumably "accessibility" requires both ease of learning about the existence of information, and ease of obtaining the information itself. Details of how each of these aspects of accessibility can be enhanced are treated in Sections II.B.(Bibliographic Control) and II.C. (Distribution).

3. The Measurement of Uses and Needs.

a. Use

Some measure of the use of government documents in libraries can be gained by examining library reference and circulation statistics, even though libraries usually do not provide a special category for government documents in their circulation statistics. In typical statistical studies of reference services, the questions asked and/or satisfied are commonly grouped by subject, or by the time it took to answer them, rather than by the source of the information. Exceptions occur in the case of libraries having documents departments that keep separate reference and circulation records. However, only comparatively large libraries have separate documents departments, and few of these keep detailed records. Even when they do, the data recorded by one library are not apt to be compatible with those kept by another, mainly because of the lack of common standards of terminology and measurement.

There are a number of studies in the literature which purport to throw light on the "use" of government publications, but often these studies are disappointing or even misleading. If they do represent real use studies, often the data base is too small or the methodology employed is inadequate to support meaningful conclusions. For example, one of the early studies, entitled Government Publications for the Citizen (McCamy) and still the most comprehensive of its kind, devotes only one and a half pages to "the reference use" and less than a page to "library circulation

of government documents." McCamy's data base was very small, and depended on the estimates of librarians rather than accurately derived statistics, and his data relate to Federal documents only. Published data on the use of State documents is even scarcer, and published data on the use of local documents is virtually nonexistent.

In spite of all the shortcomings of the published or unpublished studies or statistical records on the use of government publications, there is universal consensus that they are indispensable to any library, large or small.

b. Need.

Unfortunately, no adequate methods have yet been devised for measuring information needs. Measurement of the need for information contained in government documents is even more problematical. Unless a person happens to know that the best source for a particular item of information is a government document, he cannot say whether he has need for government publications or not. Past experience in the use of government documents may or may not suggest current need for them, depending on how successful a person's earlier use has been and whether or not he recalls the experience. There are many reasons for distrusting use as an indicator of need. If one has never used a government document it does not follow that one has no need to do so.

c. Identification of Users

Since not all types of user are served equally well by the same bibliographic apparatus and distribution system, one of the early tasks of the Government Publications Study Group must be to try to identify, categorize, and quantify the main groups of real users, both nationally and according to regional clusters. Each such group needs to be characterized as to current use, levels, and patterns, and (taking "superhighway effect" into account) potential use levels, and patterns and/or conditions of access. This effort should include both individuals and institutions in a wide spectrum of professional, technical and economic activities.

4. Identification of Types of Government Publications Used

The frequency of use of various kinds or types of government supported information sources would provide information useful for library management purposes. It supports the rationale of shelf arrangement, bibliographic control, circulation control, reference use, storage, binding requirements, acquisition of duplicate copies and so on.

It also helps identify important publications that are

seldom used, and may lend to a determination of the reasons for non-use - - such as difficulty of access, loan or examination constraints, awkward or insufficient bibliographic control, or clumsy format - - which, if corrected, might permit the material to gain prominence and fill a real need in the community.

It is quite possible that the user patterns referred to in II.A.2. above will need to be tabulated by form and subject for each class of user, although this would entail a substantial increase in the statistical requirement. There is ample justification for doing this if the resources of the Government Publications Study Group permit.

The following list should be considered when deciding what types of government publications might need to be studied according to class of user:

By form:

- Research Reports
- Surveys and Studies
- Agency Reports
- Committee Reports
- Committee Hearings
- Proceedings
- Standards
- Patents
- Statutes
- Regulations and By-Laws (external application)
- Directories
- Catalogs
- Dictionaries, Glossaries, Thesauri
- Guides

- Physical form of all of the above (book, pamphlet, bound, loose leaf)
- Arrangement of all of the above (titling, indexing, etc.)

- Maps, Charts
- Gazetteers
- Journals, Yearbooks, and Serials
- Bulletins
- Films, Filmstrips, Slides
- Microforms (roll, unitized, etc.)
- AV Materials (Phonorecords, Audiotapes, TV-tapes)

By subject:

(Broad classes such as agriculture, transportation, management)

SECTION II.B. BIBLIOGRAPHIC CONTROL

1. General

"Bibliographic control" must be used in its broadest sense if the full range of complexities associated with government publications is to be embraced. It must include any and all of the apparatus that has been developed by librarians in order to enable them to categorize, label, arrange, and retrieve books and other documents. It also must include any indexing, classifying, abstracting and other secondary publishing schemes which have been developed in particular topical or disciplinary fields and which supplement standard library reference tools. It will, of course, be necessary for the Government Publications Study Group to keep in mind the needs for bibliographic information on the part of the user, as well as the conventional needs of librarians and information specialists. It appears that this should apply equally to manual, automatic, and combination methods of control.

2. The Relation Between Bibliographic Control and Accessibility.

Accessibility to information about available government publications, their existence, their nature, and their whereabouts is as important as is the accessibility to physical copies of the publications themselves. In the general case, a user and a government publication come together only after there has been some interaction with a bibliographic control mechanism. Two exceptions may be noted but they do not radically alter the average experience: serendipity (fortuitous discovery of the document through browsing or having it called to one's attention by a colleague) and participation in a selective dissemination (SDI) service or - - in another form - - a "current awareness service."

Among the various devices and methods by means of which the accessibility to information about (as distinguished from information in) government publications can be increased, and which the Government Publications Study Group should take into account both for purposes of assessing the current situation and for devising solutions to problems observed, are the following:

* Current and proposed general catalogs, checklists, bibliographies, union catalogs, etc., for government publications of all levels. (Special effort should be made to identify all cooperative arrangements.)

* Existing or planned current specialized checklists, catalogs, indexes, abstracts, bibliographies, etc.,

covering various subjects and forms of government-produced literature, at all levels. (Special effort should be made, again, to identify cooperative arrangements.)

* Catalogs, bibliographies, etc., covering government publications in microform (roll, unitized, etc.)

* Catalogs, checklists, etc., in machine-readable form.

* Readers' advisory services covering government publications.

* Special reference services covering government publications (telephone, written, face-to-face, and combinations of these.)

* Open stacks (for browsing and retrieving.)

* Criteria relative to physical arrangement, storage, departmental separation, etc.

Other matters in the area of bibliographic control to which the Government Publications Study Group should pay particular attention are:

a. The identification of needed improvements in the existing general and specialized checklists, bibliographies, catalogues, etc., regarding especially current practices governing inclusion, form of entry, frequency of issue, accumulation, and distribution.

b. Identify types of publications as to both form and subject area that are not covered by current checklists, bibliographies, or catalogs.

c. With respect particularly to the Federal level:

(1) Find out what criteria are used in the Office of the Superintendent of Documents to determine the inclusion or exclusion of a Federal government document in the Monthly Catalog.

(2) Explore the advisability of reviving the Catalog of the Public Documents of Congress and of All Departments of the Government of the United States.

(3) Find out what criteria are used in the various Federal agencies for deciding whether to have their publications printed at the Government Printing Office, at a field plant, or by commercial contract. Determine the legal bases for such criteria.

d. With respect to the State level:

(1) Identify states which presently compile no lists or catalogs of their published documents.

(2) Identify the agencies within each state that compile statewide checklists, catalogs, etc.

(3) Identify State agencies which publish monographs, serials, research reports, maps, standards, or other forms of official literature. Eventually each title published by these agencies should be brought under bibliographic control.

e. With respect to the local level:

(1) Identify the types of municipal governments and special districts, and their agencies, which are the most frequent producers of documents likely to have more than local interest.

3. Statutory

The statutory context in which government publications are produced and distributed profoundly affects the element of bibliographic control. The existence of depository laws gives little comfort to librarians or their clients unless these laws are in fact implemented, which is seldom the case. Nevertheless, Congress and several of the State legislatures have recognized this problem and have made some attempt to remedy the situation.

Laws that would make designated agencies reponsible for compiling checklists or bibliographies covering various levels of government publications are also lacking.

4. Availability of Documents for Identification and Control.

Another major problem derives from the one just discussed: Since there are no coercive or incentive pressures put on document-producing agencies, there is seldom any effective administrative machinery for sending even one copy of their publications to a designated agency or institution for the purpose of standard identification so that it may eventually be brought under bibliographic control.

The lack of administrative machinery to make government publications automatically available for bibliographic listing means that those agencies or institutions which would be able and willing to compile the various checklists and bibliographies find it difficult, and often impossible, even to learn of their existence. They find it equally difficult to obtain copies of them, in many cases, even after

finding out that they exist. As a result, there is no level of government publication - - Federal, State, or local - - that can be said to have even approximately complete bibliographic coverage.

5. Lack of Uniformity

Another major problem arises from the lack of uniform standards of bibliographic description in the existing catalogs, etc., that purport to list publications of the various levels of government. This lack of uniformity is manifested in the variety of headings in various bibliographic tools displaying the same items, especially in respect to choice and form of main entry. Still another manifestation is the variance in descriptive entries, especially in the treatment of titles, imprints, and collations.

6. Lack of Indexes

The inadequacy or lack of integral or supplementary indexes, and the infrequency of cumulation of the latter, also seriously limits the efficiency of many bibliographic tools associated with government publications. A related problem is tardiness of publication, e.g. in the case of the Decennial Index. Some commercial services are being developed to fill felt needs, especially in the case of Congressional documents, but these do not constitute a complete remedy, nor is there any way to coordinate them systematically so that they might eventually constitute such a remedy.

7. Internal Bibliographic Control

Some institutions maintain unique bibliographic controls for their own use substituting for or paralleling standard bibliographic services, or (for internally generated items) merging them in the standard apparatus. These controls, if not altogether unique, may consist of extended or abridged (fondly called "streamlined") versions of standard systems. Typically the codes, terms, etc., used are determined by local conditions, tradition, and individual bias and are not intended for general use outside of the institution in which they are developed.

Another form of internal bibliographic control is accomplished through departmental allocation. In the widest sense, even the shelf arrangement of publications comes under the heading of bibliographic control, and raises the question as to whether government publications should be shelved separately, and if so, in what order. In many cases, departmental allocation affects the main catalog. For example, if a library has a separate document department for handling government publications, that department will probably have its own sub-collection catalog, and this

may mean that government publications will be omitted from the main catalog.

8. Book Catalogs

With the increasing popularity of the book catalog format, whose ease of reproduction and storage facilitates wider availability, local catalogs, especially those of large research libraries, gain much more importance in the overall bibliographic control picture.

9. Use of Computer Technology

The gains that have been made in the use of computer technology in storing bibliographic information and making it instantly available encourage us to think of local bibliographic control as a component of a nation-wide total bibliographic control system. In order to be so utilized, clearly standard policies and practices of coverage, entry, description, tracing, and input must be followed. (The MARC II format developed by the Library of Congress represents a monumental achievement in this area.)

SECTION II.C. DISTRIBUTION

1. General

This section deals primarily with distribution of the government publications themselves in whatever form. The many problems surrounding the distribution of information about government publications, such as announcements, bibliographic information, indexes, abstracts, etc., are, for purposes of this research design, considered as part of the bibliographic control problem.

Methods of distributing government publications have a major effect on their collection, bibliographic control and use. At the same time, these methods are frequently influenced by factors of access, reproduction, administration, supply (number of copies available), and the availability of secondary distribution centers such as clearinghouses and depositories.

Methods of distribution of government publications include the following:

* systems of exchange and/or cooperative acquisitions among libraries and other organizations

* supply of copies to lepositories

* official distribution, by individual agencies of some of their own publications

* automatic category distribution by originating agency

* SDI systems, on initial or secondary distribution

* secondary distribution through clearinghouses or regional centers, including full or categorical distribution, individual copies on demand, or variations of the above listed methods

* commercial channels

Until fairly recently, distribution of government publications has meant distribution of paper copies ("hard copy") of the document itself. Now, microforms, ultra-microforms, magnetic tape used digitally, and magnetic tape used in analog fashion (as in video recording), comprise alternate means of getting the information to the user. The integration of computers and/or telecommunications of various kinds with the foregoing provides even further alternatives. It will be vital that the Govern-

ment Publications Study Group be well enough financed and have enough time and competence to study the alternatives available at each decision point, in order to make considered choices among them.

2. The Relation Between Distribution and Accessibility

As pointed out in Section A, accessibility must be assumed to be a determining factor in a user's choice of information channels, and presumably this factor is some complicated function of a number of variables. The two most important variables, for our purposes, are availability of bibliographic information and availability of the information itself.

A fundamental part of any really rational distribution system design is to decide which of these conditions to establish, and how to implement the decision. Such decisions require careful analysis of the tradeoffs between cost, time, energy, need, general value, and impact on bibliographic control. Many of the factors are difficult or impossible to quantify. The Government Publications Study Group should use the tools of operations research in making these decisions, insofar as possible.

3. Development of Collections

The conventional way of thinking about getting an item to the user is that one must first acquire an exemplar of it, to be transmitted to him either on loan or for examination on the premises. In this subsection we consider the processes of physical acquisitions, leading to the development of collections.

a. External

One kind is external to the collection, a push from some distributing point. To understand the working of this kind of force, the Government Publications Study Group should, wherever possible:

(1) Identify Federal, State or local agencies which produce potentially useful information but which seldom send copies of their publications to designated depositories.

(2) Identify libraries or other agencies which may be regarded as depositories (de jure or de facto) for government publications of each level, and ascertain the size, type, and caliber of their collections.

(3) Assess the effectiveness of the geographic or demographic distribution of these depository libraries in relation to needs.

(4) Identify existing laws, by-laws, regulations, etc., which establish, or encourage the establishment of, depositories of any kind.

(5) Identify laws, policies, practices, and interpretations, which tend either to promote or to discourage the enforcement of organized and systematic distribution and depository regulations.

(6) Identify and characterize (and quantify where possible) instances in which distribution or depository practices are hampered or prevented by lack of finances and/or trained personnel.

b. Internal

The other kind of force can be thought of as internal with respect to the collection, a pull from the collection. It includes such things as purchase, blanket purchase orders, solicited gifts and exchanges. In this mode of procurement are:

(1) Purchase (individual, joint, or cooperative) by means of:

(a) Standing blanket or category orders

(b) Subscription to various document-supplying services such as (1) the Documents Expediting Project, (2) "SDM" the (selective dissemination of microfiche) service of the Clearinghouse for Federal Scientific and Technical Information and (3) the Falls City Microcards.

(c) Specialized depository arrangements involving payment for the supplied items.

(d) Order of individual items

(2) Gifts

(a) Solicited

(b) Unsolicited

(c) Specialized depository arrangements if the supplied items are free. (The Federal Depository scheme is discussed at greater length in Section III.A.)

(3) Exchange

Special attention should be paid to the active (rather than passive) utilization of coordinating and distributing agencies at the three levels. These include:

(a) Federal - United States Book Exchange, Smithsonian Institution, Library of Congress

(b) State - Council of States' Governments, State Libraries

(c) Local - American Municipal Organization, International City Manager's Association, Municipal Finance Officers' Association

Where feasible, the Government Publications Study Group should collect data bearing on the procurement of current publications of all types, including book and non-book materials such as periodicals, technical reports, films, maps, pamphlets, etc. The Group should also survey, or at least carefully consider, various acquisition techniques applicable to all three methods of procurement, in order to devise guidelines to current practices and ways of improving them. For this purpose data should be collected on:

Selection tools and other means of learning about the existence of particular government publications.

Specific arrangements for acquiring the physical items.

4. Transmittal to User

Once the collection has been established, then the further means of making items from it available to the individual can be considered as falling into two categories:

a. Transmittal For Loan

The principal means of getting the item to the individual is usually referred to as circulation or loan. We

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use the terms here to include "paging out" for examination on the premises. Factors which should be considered by the Government Publications Study Project in assessing the effectiveness of loan policies include the following (all considered only with respect to government publications holdings):

* Criteria of eligibility of users for using publications away from the collection.

* Criteria of eligibility of users for using publica- on the premises.

* Criteria of eligibility of users for obtaining publications through inter-organizational loan

* Length of loan period (if any)

* Limit (if any) on the number of items an individual can draw or retain at one time

* Policy on overdue items

* Criteria for classified documents

These should be identified in a number of library contexts, grouped according to:

* Total holdings of library in volumes

* Approximate size of the collection in volumes

* Approximate size of the non-book collections (microforms, maps, pamphlets, reports, films, phono records, etc.)

* Type of library (Federal, State, or local depository or non-depository; academic, public etc.)

* Available photo-copying facilities (eye-legible product)

* Available photo-copying facilities (microform product)

* Microform readers

b. Transmittal For Retention

This usually takes the form of transmitting to the user a copy of the item in question, be it "hard copy", microcopy, or machine-readable copy. Each of these types can be further considered as dividing into two classes

according to whether they are stock-piled or prepared upon demand.

5. Recapitulation

It is extremely difficult, tedious, and expensive for libraries to acquire publications sponsored by any level of government. The situation is aggravated by the fact that the existence of many government documents is concealed - - not through intent but through lack of effective depository apparatus. A detailed study of this problem is an indispensible prerequisite for any plan that aims to accomplish marked improvements in a nation-wide information transfer system involving government documents.

PART III.

ANALYSIS BY LEVELS OF GOVERNMENT

In the preceding Part we discussed aspects of the three problem areas - - uses and needs, bibliographic control, and distribution - - that are shared to some degree by all three levels of government publication. In this section we discuss the three levels separately in terms of the same problem areas in order to examine particular manifestations at each level, and to identify additional problem elements that are peculiar to one or two levels but not generalizable to all three.

It will be observed that while problems of each type occur at each of the three levels, the density, difficulty, and immediacy of problem elements in each sub-group varies so markedly that one cannot say that any one level of government publications involves more problems, knottier problems, or more urgent problems than the other two. Neither can it be said that one level is more "important" than another, or that its composite problem is more amenable to solution. For example, though it might appear that Federal publications should be easier to deal with because only one government is involved, rather than fifty (State) or several hundred (local), actually the different charters, missions, regulations, and policies of the publication-producing agencies in the Federal government may, when the matter is explored in depth, introduce more complexities than is introduced into State and local publications by the multiplicity of their governments.

SECTION III.A. FEDERAL PUBLICATIONS

1. Uses and Needs

Federal publications nominally fulfill two kinds of information needs:

* Generalizable needs experienced by U.S. citizens, as such, regardless of where they live.

* Specific needs for information about their collective affairs, (again) as U.S. citizens.

While there is no field of human knowledge which Federal publications may not touch upon, however lightly, most of the agencies that produce these publications are concerned with current problems, plans, decisions, and data rather than with matters deeply retrospective, and with pragmatic sociological, economic, political, ecological issues rather than with matters that are spiritual, interpretive, literary (belletristic), and individualistic. Hence the profile of Federal output is readily distinguishable from that of any other composite source or combination of sources, and should be studied and measured sui generis, at the same time bearing in mind that some of its parts may correspond well enough with parts of State and local government publication to be amenable to a common solution.

Our individual needs for the information conveyed in Federal publications is probably greater than most of us realize, and the information responsive to those needs -- if it could all be transferred -- might well exceed the quantity we would be willing to ingest. This is not to say that we must take all or nothing. We are free to severely limit our searches both in scope and in depth, and in fact this is what most users do (though less from deliberate choice than from unawareness of the total resource.)

The Federal literature contains not just "something for everyone" but many things for everyone. But only a token amount of this information gets transferred. Scientists and technicians seem to be the most adept at getting what they need, because they are trained to do so. Others -- the farmer, the housewife, the high school student -- are less fortunate, despite the fact that they might profit just as richly if the transfer could take place.

Some types of Federal publications (and their contained knowledge) are virtually unique to the Federal level:

Standards While in principle nothing prevents standards from being officially adopted at State or local levels, in practice most standards in the United States are established

nationally, and are issued in the quasi-government publications of the American National Standards Institute.

Patents Patents comprise another peculiarly national type of document. They are absolutely essential to industry, and hold more than passing interest for private individuals. Like standards, they are well documented and kept under reasonably good bibliographic control.

Congressional Publications and Publications of the Judicial Branch While the bulk of Federal output is generated by the Executive Branch, that of the Legislative and Judicial Branches must not be ignored. Both have time-honored control and distribution procedures quite different from those employed for Executive Branch issuances, and these need to be carefully studied with a view to correlating them in a total Federal publication system.

2. Bibliographic Control

On the whole, Federal publications enjoy the best and most comprehensive bibliographic control practices, compared with publications at other levels of government. Section 69 of the 1895 General Printing Act charges the Superintendent of Documents with the preparation and distribution of a monthly catalog of government publications (U.S. Statutes at Large, v.28, p.612). The control over the 35-40% of Federal publications which appear in the Monthly Catalog could unquestionably be improved, but these at least have been systematically listed. However, about 60-65% of all Federal publications do not get into the Monthly Catalog at all, because they are produced by agencies whose publications do not fall under the control of the Government Printing Office. Most of them are not even routinely distributed to depository libraries, so that awareness of them depends mainly on hearsay, chance, direct correspondence, extra-governmental services, etc. An exception to this exists for publications of the four agencies which do comply with the Depository Act of 1962:

Department of State
" " Interior
" " Labor
Bureau of the Census (Knight 375)

Many of the non-GPO-produced publications contain the results of important research projects (particularly in social, business, and environmental fields) that are not reported through the Clearinghouse for Federal Scientific and Technical Information, despite the fact that the agency is well equipped to provide this service. The identification and listing of non-GPO publications such as these is a government responsibility and should not be left to voluntary organizations like the Documents Expediting Project,

which, even though it performs an invaluable service, identifies only about 55% of this class of document.

The 1962 Depository Act, which is central to both the bibliographic control of Federal publications and their distribution, is discussed in the next subsection.

3. Distribution

It was evidently the intent of Congress, in the 1895 General Printing Act, to centralize government printing in the Government Printing Office: "...Whenever printing not bearing a congressional number shall be done for any department or officer of the government...or shall be done for Congressional committees not of confidential character, two copies shall be sent...by the Public Printer to the Senate and House Libraries, respectively, and one copy each to the document rooms of the Senate and House for reference." (U.S. Statutes at Large v.28, p.610)

Also it was evidently their intent to place full control of the distribution of government publications in the Office of the Superintendent of Documents: "...(Of all) publications of the Executive Department not intended for their special use, but made for distribution, five hundred copies shall be at once delivered to the Superintendent of Documents for distribution to designated depositories and State and Territorial Libraries." (Ibid.)

However this has not occurred. As Paulson points out:

> "Over the years,....much government publishing has come to be done outside of the Government Printing Office, and the Superintendent of Documents no longer effectively controls the distribution of all government publications. This trend became especially marked with the great proliferation of Federal activities during the New Deal. In 1936, A.F. Kuhlman spoke of an 'unprecedented crisis' in the publications, printing to the vast amount of material issued by federal agencies outside of the office of the public printer!" (Paulson (a) 365-6)

The 1962 hearings of the Senate Committee on Rules and Administration, U.S. Congress, 87th, 2nd Session, brought out the fact that over 60% of such publications are produced at about 350 printing plants of agencies over which the GPO has no control, and with few exceptions are not distributed by the Superintendent of Documents or by anyone else to depository libraries. (Hearings (a) p.21, 60-70)

The Depository Act of 1962 attempted once more to centralize the distribution and bibliographic control of government publications by requiring, among other things, that "government publications...shall be made available to depository libraries through the facilities of the Superintendent of Documents for public information. Each component of the Government shall furnish the Superintendent of Documents a list of publications...which it issued during the previous month that were obtained from sources other than the Government Printing Office." (U.S. Statutes at Large, v76, p.352).

Unfortunately, neither the letter nor the intent of this Act has been generally implemented thus far, except by the four organizations noted above. Many writers on the subject have grave doubts that under present circumstances it will be. For one thing, the Superintendent of Documents has been given no additional budget or staff for the purpose.

Administratively, the Superintendent of Documents of the GPO is under Congress, not the Executive Branch. The Congressional Joint Committee on Printing has the power "to adopt and employ such measures as, in its discretion, may be deemed necessary to remedy any neglect, delay, duplication, or waste in the public printing and binding and the distribution of Government publications." (44 U.S.C.4) The Committee controls all departmental and field printing plants, regulates their work down to the smallest details, requires periodic reports from these plants, and reviews agency requests for printing appropriations. The Committee presumably could require each agency to furnish the Superintendent of Documents one copy of each relevant non-GPO publication for listing in the Monthly Catalog and ultimate availability. (Brock (e) 1830)

Typical of the Federal publications that are not distributed to depository libraries are: Congressional bills, documents, and reports; Congressional Committee Prints; many of the maps produced by Federal agencies; translations and other works of the Joint Publications Research Service; and the 50,000 government sponsored research reports that are distributed by the Clearinghouse for Federal Scientific and Technical Information, the National Aeronautics and Space Administration, and the Atomic Energy Commission. The newer Federal agencies in social and environmental fields, such as the Department of Transportation and Housing and Urban Development, similarly do not supply large numbers of their non-GPO publications to the Superintendent of Documents. Symptomatic of the breakdown which has occurred is the fact that, of the 10,000 non-GPO-produced publications received by the Library of Congress in 1968, 3637 did not

appear in the Monthly Catalog. (Paulson 366)

Thus if a library intends to build up a comprehensive collection of Federal documents, or even to cover only certain fields comprehensively, it needs to call on a number of sources in addition to the Office of the Superintendent of Documents, such as the SDM Service of the Clearinghouse, the Documents Expediting Service, and commercial firms such as Readex Microprint Corporation. Furthermore, it needs to participate in special depository systems such as the Geological Survey, the Army Map Service, NASA, the Census Bureau, and the National Bureau of Standards.

There is another side of the coin. The Study Group must also consider the point made by Brock:

> "In hearings preliminary to the Depository Library Act, in Congressional debate and in other connections, much was made of the fact that many libraries are not taking advantage of the present depository system. They select few of the publications available, do not house or service them properly, and generally abuse their depository status at the expense of other libraries and the public purse. There is not much doubt that some small libraries see their depository status largely as a matter of prestige, as a means of "getting something for nothing," and do not have the resources, personnel, or knowledge to exploit it usefully." (Brock (e) 1832)

On the other hand, Brock goes on to caution that:

> "Unfortunately, such cases of waste and abuse have diverted attention from the fact that many depositories serve as a vital link between government and the educational and research communities and spend far more on the depository program than the federal government itself." (Brock (e) 1832)

Obviously a chaotic state of affairs exists in respect to the distribution of Federal documents. No easy solution is in sight. One of the main tasks of the Government Publications Study Group will be to evaluate the depository system as it operates under the Depository Act of 1962, and to make specific recommendations in the premises.

SECTION III.B. STATE PUBLICATIONS

1. General

As might be expected, the second level of government in the nation, that of the various state governments, is the next best developed in terms of administration of its publications. However, the existence of fifty autonomous entities at this level complicates matters.

The various patterns of administration of their publications by the various states must be considered in terms of intra-state administration of their publications. Questions of compatibility, cooperation, and other matters relating to traffic in state documents between the various states also need to be examined. Finally the relationship of state publications to Federal and local publications requires study.

2. Uses and Needs

State publications nominally fulfill three kinds of information needs:

- Generalizable needs for information in individual State contexts.
- Specific needs for information about the collective affairs of members (citizens, constituents, residents) of individual states.
- Specific needs for collective (regional, national) information about states.

State publications have a narrower span of subject coverage and a far smaller user population, real and potential, than Federal documents. This does not necessarily mean that they are less important. They are often the only sources of information on a subject, especially when that subject relates to the particular State producing it. Typically, State publications will deal with matters closely related to the daily lives of its citizens, things such as traffic regulations, health facilities, and schools.

We need to know much more than we do now on all aspects of the uses and needs for State publications. What subject matter do they cover? What people concern themselves with what subjects? What literary forms are found: How often do State publications cover the same ground as Federal or local publications?

3. Bibliographic Control

The bibliographic control of State government publications is generally less systematic and hence less effective than for Federal documents. Here, too, the problem is made more difficult through lack of adequate state depository laws. Many state publications never find their way into state depository libraries even when such have been designated, and therefore do not get appropriately listed.

Aside from depository arrangements, separate statutes are needed in most cases to make at least one agency (suitably funded), in each state, responsible for compiling and distributing lists of state documents. At present thirty-three states publish checklists of documents produced by their agencies, but only six states make statutory provision for the issuance of catalogs covering this material. Many such listings and catalogs are admittedly incomplete.

The Library of Congress publishes the only combined list of State publications - - the Monthly Checklist of State Publications - - but since this list covers only those items actually received by the Library it cannot be expected to be comprehensive.

While problems connected with standard formats of entry, indexing, cumulations, etc., should be examined, the overriding need is to insure that all documents produced by each state of the United States at least get listed somewhere. Opinions are divided as to whether separate complete listings for each state or a single Monthly Catalog or checklist of State Publications would be better. Perhaps both should be attempted simultaneously. These are questions the Government Publications Study Group must resolve.

In 1969 the Office of Urban Library Research of Wayne State University published a study entitled "Management and Use of State Documents in Indiana" incorporating a useful tabulation of State document checklists by State, name of compiling agency, inclusiveness, frequency, and cumulation. (Casey 24-32) The Government Publications Study Group will need to prepare a considerably expanded version of this table. (It will be interesting to observe what shifts in the data will have occurred subsequent to the Casey Survey.)

4. Distribution

In the past eighty years or so, many concerted attempts have been made to establish a centralized nationwide distri-

bution system for Federal documents. No such attempts have been made for national distribution of State government publications.

Even within the various states there are nearly as many different distribution patterns for state documents as there are states. In the majority of states (30 out of 50), the State Libraries are responsible for the distribution of State documents, but certain types are excepted. (Casey 14) Responsibility for the distribution of legislative bills and journals, supreme court reports and other similar documents often rests with an assortment of agencies, even within a single state. Also, different states assign principal responsibilities to different agencies, such as the Secretary of State, the State Printer, the State Law Library, the State Historical Commission or Society, or the law library of a State University. In one state no agency at all has been designated, and in two states, the document-producing departments themselves are responsible for the distribution of their own publications.

The internal distribution pattern of state documents also varies from state to state. Only nineteen of the thirty-four respondents to the Casey questionnaire indicated their respective states as providing for distribution of state publications to public libraries, and of these only eleven make such provision comprehensive. Only three distribute to all such within their boundaries. Two states provide no automatic distribution whatever. (Casey 26)

Distribution of State publications beyond state boundaries is even more unsatisfactory. Fewer than one-fourth of the states attempt such distribution, and only three regularly distribute copies of all their publications to designated extra-State libraries, information centers, etc., other than the Library of Congress.

Worse, many state documents do not get to a distributing agency in the first place. These, then, may never get into the documents collections of libraries. Inadequate or unenforced state depository laws, and divided responsibilities, contribute to this situation. Usually the Secretary of State is responsible for sending legislative documents to the state library. The State Printer is supposed to supply other printed documents, and the various issuing agencies are supposed to supply those documents that are not printed by the State Printer. In about thirty states the issuing agencies are solely responsible for sending their publications to their state libraries or other agencies for distribution.

In most cases there is a further problem: the number of copies forwarded by the generating agencies is insufficient to provide for distribution to all libraries

requiring copies. The number of copies supplied varies from state to state; generally it ranges from one to five hundred. Twenty-six states supply one hundred copies or less and in only twelve is the state library supplied with more than two hundred copies. The authority to decide how many copies are to be supplied is also variously assigned in different states. The state librarian has the authority to decide the required number of copies in twelve states.

Another serious problem is that in the vast majority of states the laws do not provide adequate funds to administer the depository program. Therefore many agencies are reluctant or financially unable to supply the number of copies needed for distribution. Here we have a clear indication of an economic impediment that requires study, leading perhaps to a recommendation for some sort of joint subsidy to ensure adequate inter-state distribution.

The building of a good research collection of state documents from all of the United States poses an almost insurmountable acquisition problem for librarians. The various state depository laws, where they exist, require only that the agencies should send copies of their documents for distribution to agencies within the state, and no state is required by its own statutes to send even one copy of its publications to a federal or other national agency for a centralized listing. Thus librarians have to rely on a combination of selection tools and methods, none of which alone is entirely satisfactory. The most common selection tools are the Monthly Checklist of State Publications, the individual checklists of the approximately thirty-three states that issue them, the Public Affairs Information Service Bulletin, and the Legislative Research Checklist of the Council of State Governments. These fall far short of giving a complete bibliographic coverage of all state publications because of the difficulties discussed above. Often even the state libraries themselves are unable to learn of the existence of many of their own state's documents!

One of the many things that need to be done is to identify the extent to which the various state depository libraries make use of their own depository privileges. Another is to determine the role of the State Library authorities in the planning and coordination of the Federal depository services in the individual states. Also an attempt should be made to identify conflicts of authority between a State Library authority and other authorities entitled to designate new depositories, and their possible effect on statewide planning.

It is urgent that a more efficient distribution system for state publications is required. Whether it should take the form of one cooperative centralized system, or many state-centered systems with nationwide distribution, or some other structure, will be one of the concerns of the Government Publications Study Group.

SECTION III.C. LOCAL GOVERNMENT PUBLICATIONS

1. Uses and Needs

Governing agencies below the State level - - counties, districts, cities, boroughs, towns, etc., singly and in combination - - publish material that is indispensable to their daily administration and that provides means of communicating with their citizenry. Often this material has interest far beyond the geographic bounds of the local unit, and may in fact contain information of general applicability.

Corresponding with the definitions given in the two subsections preceding, we may say that local publications nominally fulfill three kinds of information needs:

* General needs for information about specific locales
* Local needs for local information
* General needs for information that is context-free, even though locally generated, i.e., information that could be relevant in another context.

Urban conditions and trends have created problems of such magnitude and complexity that the well-being - - even the existence - - of whole communities is affected. Local governments, in trying to cope with these problems as they affect their own constituents, compile and study local data in ways that are (or should be) methodical enough

(1) to replicate elsewhere, and

(2) to produce data that is capable of being extrapolated and/or matched with corresponding data generated in comparable locales.

The results of these studies - - bearing on pollution, housing, disadvantaged minorities, urban renewal, crime, and other common problems - - are highly pertinent to national and state studies of the same problems precisely because they do present local viewpoints. Their qualities of immediacy, detail, and directness compensate for whatever they may lack in uniformity and professional method.

Materials of this sort, produced by individual local governments, can be extremely useful to other local governments, not in a combinatorial sense but on a basis of 1-for-1 comparison and guidance. It is inexcusable not to exchange this information.

One can reasonably assume that with the rapid increase of research activities which concentrate on the various urban problems and with the introduction of increasing numbers of innovative urban administrative de-

vices, the interest in local documents will increase. We know far less, of course, about their use and their users than we do about Federal and State publications.

One presupposes a predominantly local interest in the publications of the various types of local government. This assumption, however, needs to be tested against data that reveal not only the residence (local, out of municipality, or out of state) of the most frequent users of local documents but also their occupations.

As soon as possible, the types of local (particularly metropolitan) publications most in demand by persons and institutions outside of the communities where they are produced need to be identified and characterized, and their broader potentials assessed. This could lead to improved production, control, and distribution patterns.

2. Bibliographic Control

Bibliographic control of local publications has been grossly neglected, even on their home ground. They are often regarded as not being important enough to require such controls, and certainly many local items are so ephemeral and/or trivial that they do not merit such care. Hopefully the Government Publications Study Group will be able to suggest practical criteria for choosing between control measures, erring (if at all) on the side of over-control rather than under-control, since interest in all kinds of local publications is growing at an unprecedented rate.

At present there is no single bibliographic source that lists, even selectively, the significant local documents produced throughout the country. There are 233 standard metropolitan statistical areas in the U.S., but the Library of Congress attempts to collect documents systematically only from thirty cities (Shannon 130). The Municipal Reference Library Notes published by the Municipal Reference and Research Center in New York City lists only a small fraction of the nation's local output. (This publication is an important contribution, but the New York Public Library lacks the resources to undertake a listing in depth and/or a geographically comprehensive basis.)

3. Distribution

There exist some systems, however inadequate, for the distribution of Federal and State publications.

No such systems exist to serve local publications and their users outside the jurisdictions where they are produced.

A 1966 study based on information received from three-fourths of the state libraries reveals that only five of them were depositories for local government documents. Two

of these five were for depository codes and ordinances only. (Schell 138)

Under the circumstances the systematic collection of all U.S. local documents by any library, even on a limited number of subjects, would be an impossible task. Even the Library of Congress seeks to collect documents from only 30 major cities. Since there are no state-wide, let alone nation-wide, distribution systems for local documents, bibliographic control of such publications is virtually non-existent.

Shannon lists a number of sporadic local efforts to collect local documents and to bring them under bibliographic control: In Toronto the International Association for Metropolitan Research and Development seeks to transmit and exchange information that has been generated by cities exceeding one million inhabitants, and the Urban Research Directory issued by the City of New York, lists urban research programs together with the municipalities performing them. (Shannon 128)

The increasing importance of documents published by local (particularly large metropolitan) governments by and within administrations makes it imperative that comprehensive plans should be developed nationally for the distribution of local government publications, and as a precursor to their bibliographic control.

PART IV.

RECOMMENDATIONS

This Part presents the Design Study's recommendations and recommended research design for a comprehensive study of the use, bibliographic control and distribution of government publications. These are based on the presentations, analyses and evaluations in previous Parts of this report. An explicit statement of each recommendation is presented, accompanied by discussion to explain the reasoning behind it. These are grouped under Approach, Methodology, Products and Size and Duration in that order. Detailed task specifications constituting an integrated program to support and implement the various recommendations are given in Appendix A.

SECTION IV.A. RECOMMENDATIONS AS TO APPROACH

1. Need For a Study Project

At the risk of redundancy or truism, we must start by recognizing the urgent need for such a study project as is here designed. Large-scale wastes of time, money and energy, together with unknowing and needless duplication of activities, occur regularly because information available in government publications is not used. In the future, the cost of failure to use information available in government-produced publications will very likely escalate as government agencies at all levels undertake increasingly important roles in coping with critical social and environmental problems.

The effectiveness of greatly expanded programs in these areas will depend to a large extent on the effective communication and use of the results of prior research, studies, surveys, reports of experiments, etc., by research and planning staffs, elected officials, and administrators in all fields of social and environmental activity. In addition to their use for internal communication within projects and programs, and for purposes of making maximun use of scientific, technical, and other knowledge already in government publications, an especially important use will be to enable the experiences and findings of one group or project to be immediately useful to other groups or projects that could profit therefrom.

It is unfortunate that there is no good way to quantify, or even to demonstrate, present inefficiencies in making information in government documents available. There is a great need for some general quantitative measure or expression such as

$$\text{Efficiency of info. in Gov't pub'ns} = \frac{\text{Actual use made of info. in gov't pub'ns}}{\text{Potential usefulness of info. in gov't pub'ns}}$$

However, both the numerator and the denominator contain, implicitly, human behavior factors and values which have not even been identified yet. It would therefore be inexcusable, in scientific terms, to hazard any estimate of the value of that efficiency. Yet it is certainly very very low at best and vanishingly small in many cases.

Recommendation No. 1 A comprehensive study of the use, bibliographic control and distribution of Federal, State and local government publications should be undertaken as soon as possible.

A corollary of this recommendation is that the best study that can be undertaken should be. That is, if financial support cannot be found for a project the size of that here recommended then compromises should be made where necessary, but something that will start to improve, or at least develop better understanding of, the government publications picture should be initiated without delay.

2. The Need For A System-as-a-Whole Approach

Parts II and III of this report represent a demonstration as well as an analysis - - a demonstration of the fact that the problems associated with government literature are fundamentally generic in nature and can be discussed as such. We have shown how the process of bringing government publications to point-of-use can be viewed as a continuous sweep through phases of identification, listing, description, physical movement to conservators, then further listing, description, and so on, rather than as a series of isolated steps occupying first one, then another, functional province. Heretofore the emphasis has been mainly on the concern of librarians, as such, with immediate and pressing matters of acquisition, receipt, organization, and administration of those materials within their particular province, rather than on viewing the business of getting government-sponsored information from source to user as a single whole process, or system. If anything has been learned in the oft-repeated process of analysing various existing operations or groups of operations preparatory to automation, it is the necessity for looking at the entire operation as a system, composed of discrete but interacting parts. Such a viewpoint must be taken by the study project. It must be taken with respect to Federal, State or local government publications separately; perhaps even more important, it must be taken with respect to all three together.

Almost without exception the problems of government publications have been considered in terms of three distinct sets of problems related separately to the Federal, State and local situations. As far as we know, no attempt has been made to interrelate these until they ended up in one package in the suggestions that were made to us with respect to initiating this research design development study. This was then carried through to our Design Study contract.

First, it will be helpful to think of each of the

Federal, State and local situations as "systems" regardless of how informal or even non-existent any interactions or arrangements may be. There is ample precedent for this in systems work. Consider briefly the worst situation, that of the local government publications. While they may not be coordinated or even aware of each other, there are many activities going on in municipalities and counties all over the country. These share strong similarities of interests, goals, and problems and could be linked in various ways through their literature, despite its sporadic and variegated character. They will range from a sporadic, parttime activity of an individual to fairly impressive well-staffed well-equipped centers in some of the larger cities. These can certainly be legitimately regarded as potential nodes in some conceivable network or networks. As Shannon has pointed out, (Shannon 128) there are already several different groups in which there is interaction between some of these nodes.

Regardless of how much or how little has yet been accomplished within any one of these three "systems" there are, in each one of them separately, clearly growing needs, recognitions, understandings, and forces tending toward more and more interaction and efforts to bring about some order, control, and dissemination of information. Thus, even if the comprehensive study designed herein does not get implemented something is going to continue to happen in each of these areas separately. What undoubtedly will not get done under such circumstances is any sort of an objective and comprehensive look at the interactions between each of these three separate systems.

Actually, there are many reasons for looking at the three systems as one larger encompassing system providing access to government originated or sponsored information in a wide range of fields. As pointed out in Part II most users do not care whether they get their information from a Federal, a State, a county or a municipal document. There are, of course, some exceptions. Obviously, if one is studying the correlation between city government effectiveness and output of city documents then it will make a difference as to where the documents originated. Perhaps a somewhat more typical case might be that of a sociologist seeking information on correlations between drug use and some particular type of crime. He will probably not care where his information originated (except, of course, for such purposes as assigning it a measure of reliability).

If, then, the user - - the person who has some need for some kind of information (and here we include the housewife, the high school student, and any or all others in addition to the scientific or technical person) - - most of the time does not care where his information comes

from, we should minimize the number of separate places or separate attempts he must face to try to get his information. Clearly one important way to do this is to combine the Federal, State and local government publication systems into one.

There are a number of specific aspects with respect to which the three systems might complement, help or support each other. Three are mentioned below. The study project should consider these and should look for and study others.

> Recommendation No. 2 The study project should adopt and maintain a system-as-a-whole viewpoint and approach towards government publications, differentiating types, levels of government, etc., where appropriate, but proceeding on the premise that there is, in some useful sense, one overall system, whether formalized or not, or identifiable or not, which acts on, and affects, all government publications and the information in them from the moment they are generated.

In furtherance of this recommendation the study project should,wheresoever possible, seek commonalities among multiple types, levels and forms of control and attempt to describe, conceptualize and define them in common terms. It should also look for correspondences and modularities within the total system that would permit common control measures (though not necessarily commonly administered) across traditional boundaries.

3. Policy re New Technologies.

An essential task of the Government Publications Study Group will be to explore the extent to which new technology can be usefully applied to some of the problems in the government publications situation. There seems to be no question but that the same technological progress which has both contributed to and resulted from the "information explosion" must be used to help control it. This is not to say that the problems can be entirely solved by recourse to technology alone. As yet, too little is understood about how best to organize, describe, analyze, and manipulate large files of information for that. Also, new technology is usually hedged about with questions as to how far and how fast it will go, and whether the advantages it promises are real or illusory. But neither does it seem that the problems which we have identified can be solved without recourse to at least some of the new techniques.

The Study Group must exercise a measure of what might be called "creative opportunism," as exemplified by the

COSATI commitment to microfiche at a time when unitized microfilm transparencies implied little else than aperture cards, and the decision of the Library of Congress to proceed with the development of MARC. It must (through its staff and consultants) cultivate a sensitivity to the implications for information science of the new developments as they occur, rather than waiting for others to identify them.

Whole new technologies and new developments within existing technologies are continually emerging, and the question arises as to where, in relation to the leading edge of the process, the Government Publications Study Group should take its position. There is considerable risk in espousing a new, untried technical approach to a problem, but the government is, generally speaking, in the best position to undertake such approaches, and the Study Group's recommendations will as matter of course be addressed to that quarter. It should not be unduly inhibited in this respect, since bold solutions are often the only hope of progress. The decision of the National Library of Medicine to go ahead with GRACE at a time when programmed photocomposition was almost unheard-of is a case in point.

> Recommendation No. 3 The study should include consideration of innovative techniques having present or near-present or near-term potential bearing on the objects of its concern, including, but not limited to, computer technology, interactive network facilities, and forms of optical, chemical, aural, electronic storage, transmission, and retrieval of information. The Study Group should feel free to commit, in its recommendations, to innovative techniques whenever these appear to be within reasonable bounds of cost and time to implement. (This recommendation does not extend to the conduct of, or participation in, any engineering studies.)

This subsection concludes with a list suggesting some of the devices and software developments that might well be considered in connection with various aspects of the government publications problem. All have potential and/or proven applicability in the field of information transmittal, storage, and retrieval. There are others which have probably not yet come to our attention. The listing has been arranged according to functions that are generally considered the most natural application of the several forms and techniques, but it should be recognized that some of them have, or may prove to have usefulness in other connections. Space does not permit discussing these items individually, and to dwell on only two or three of them here (or in the precept to the Government Publications Study Group) might imply a predisposition in their favor.

Bibliographic Control

- Optical character recognition (OCR)
- Automatic field recognition (AFR) for MARC and other standard formats
- Automatic indexing
- Automatic abstracting
- Automatic citation indexing
- Automatic classification
- Automatic format manipulation
- Automatic generation of book catalogs (with photocomp.)

Storage (collections)

- Microform (including high-reduction types)
- Electronic (magnetic, electrostatic, ionic)
- Holographic
- Reversible and/or updatable films (silver halide, diazo, vesiculate)
- Photochemical
- Laser applications (other than holographic)

Distribution

- Photocomposition
- Microform
- Television
- Telefacsimile
- Selective dissemination (passive and interactive)
- Xerography
- Telecommunications networks (esp. microwave or satellite-based)
- Laser beams

Retrieval

- Automatic microform retrieval (roll, strip, unitized)
- Computer-actuated microform retrieval (ditto)
- Computer-to-Microform transfer (COM)
- Associative retrieval
- Statistical retrieval
- Touch-tone query systems
- Automatic Voice Response (AVR)
- Interactive terminals

Display

- Position-adaptive (PAM) microform readers
- External-optical-path (EOP) microform readers
- Fiber optics for microform readers
- Low cost readers
- Reprography of all types
- Holograms

SECTION IV.B. RECOMMENDATIONS AS TO METHODOLOGY

1. General

The primary research methods recommended for use of the Government Publications Study Group are panels, questionnaires, site visits with structured personal interviews, consultation with experts and specialists, and local data collection. Statistical analyses and tabulations utilizing data processing equipment should be made of the total spectrum of data collected on the use, bibliographic control, and distribution of government publications. All questionnaires, interview schedules, and other research instruments should be carefully pretested with representative samples of the population. This multi-method approach utilizing multi-variate analysis is calculated to avoid introduction of bias and distortion in this very complex and widely-varying problem area.

2. General Advisory Committee

A General Advisory Committee should be designated by the contracting agency in consultation with the Subcommittee of the ALA Public Documents Committee which has initiated preparation of this research design and which will endorse the resulting proposal.

3. Panels

We recommend that two separate panels be used, one consisting of experts having experience in the bibliographic control and use of government publications, and the other consisting of experts responsible for production and distribution of government publications. Members of these panels should be selected, in consultation with the contracting agency and the General Advisory Committee, to represent the widest possible range of geographic area and specialization at all three levels of government, and also to include the representatives of concerned organizations, both library and non-library.

It is recommended that each panel meet at least three times during the period of the study. At the first session, the overall plans for the study could be presented to a joint meeting of the two panels, and suggestions obtained for modifying or extending the study plans. The members should be asked to critically evaluate the various research instruments to be used in other phases of the research. Information from the panel members themselves could be obtained through group questionnaires and group discussions.

The panels would offer an opportunity to obtain a synthesis in open exchange, instead of depending only

upon the collection of independent opinions and their statistical synthesis. It is expected that the panels would interact with the staff undertaking the study and function as an internal check and verification of data received through questionnaires and interviews.

4. Local Data Collection

In addition to the information which they themselves would provide, panel members would be asked to supervise the gathering of data from their own and other representative organizations. Instruments for this data gathering, to be conducted between panel meetings, should be carefully planned before the first panel is convened. The information gathered in this manner by the individual panel members should be brought back to subsequent panel meetings, and discussed and evaluated by the panel meeting jointly or separately. Allowance should be made in the budget for local employment of hourly-rated personnel to assist in these data gathering efforts.

5. Questionnaires and Interviews

The types of questionnaires to be developed and used by the study project should be determined in a major effort undertaken during Phase I. All questionnaires should be widely reviewed and pre-tested and distributed according to sampling procedures proposed for particular communities involved in the use, bibliographical control, and distribution of government publications.

Interviews should be conducted with individuals and staff of institutions and agencies identified elsewhere in this design study. Although these interviews must be highly structured in order to cover all the information desired and to facilitate statistical analysis of the results, an attempt should also be made to obtain depth through the use of carefully designed open-ended questions and probing. Interviews would also be used, to a limited extent, as a follow-up of the mail questionnaires.

Some further discussion of variations of the roles of questionnaires, interviews and other research methods is given later in connection with a discussion of the need to structure the Government Publications Study into sequential phases.

Recommendation No. 4 The Study Group should employ whatever data collection methods are deemed necessary and suitable in order to develop an adequate data base with emphasis on correspondence, questionnaires, interviews, and on-site visits.

6. Detailed Task Specifications

In order to develop a better appreciation for the amount of detail and labor required, and to provide a more concrete and specific guide for the conduct of a successful Government Publications Study, a set of detailed task specifications was prepared. This is presented in Appendix A. It is not intended to be binding on the contractor. It is, rather, intended to be a reasonable structure such that increases, decreases and changes found to be necessary during the study might approximately balance each other. Both the type of data collection method and the identity of the source of the information contemplated are given at the left. Three sets of three columns each are given, one each for use, bibliographic control and distribution. The three columns into which each of these sets are subdivided are for Federal, State and local. The insertion of one or more x's indicates both the general problem area(s) and the level(s) of government for which each data collection method/source combination is intended. An additional item of information will be explained later in conjunction with the discussion of phasing.

Recommendation No. 5 The detailed listing of questionnaires, interviews, etc., given in Appendix A. should be adopted for planning purposes and as initial guidance for the Government Publications Study Project.

7. Consultants

The Study Group should have recourse to competent professional advice in various areas where a specialist's knowledge and experience may be necessary. To a considerable extent, the interviews, panelists and Advisory Committee members may fill this need. However it must be assumed that further special advice may be needed, therefore the services of consultants must be provided for.

To give only one example, one of the solid products which may rightfully be expected of the Study Group is a series of legislative and para-legislative recommendations. It may not be possible to present these in the form of model bills, ordinances, and regulatory codes, but it should be possible to advance them as specifications of intent. It would be appropriate to engage the services of legal specialists versed respectively in federal, state, and municipal public law in order to avoid discrepancies in such specifications and to incorporate - - where possible - - effective implementation provisions.

Recommendation No. 6 The Study Group should have recourse to competent consultants to help assess the implications of its findings and to formulate specifications for model laws, systems, procedures, etc., bearing on bibliographic control and distribution

of government publications at all levels.

8. Interaction With Other Organizations

The Government Publications Study is certain to impinge on the activities of a great many professional groups and special interests, at all levels, inside and outside of the government(s). It is imperative that the motivation and purposes of the study not be misconstrued, especially that it not be interpreted as just another manifestation of "big government", an accretion to federal power. Rather it should, in semblance and in fact, seek contributions of ideas, facts, and opinions from all quarters. On principle it should avoid disclosure of any conclusions until released by the sponsoring agency.

> Recommendation No.7 The Study Group should develop and maintain liason with major organizations and agencies, both within and without the government, that have basic interests in the control and/or distribution of government publications.

9. Need For A Phased Structure for the Study Project

No data collection effort, surveying or interviewing were provided for in the development of the research design. A principal conclusion of the research design study was that much more knowledge about the existing state of affairs was necessary in order to have any reasonable assurance that the principal data collection effort or the comprehensive study could be rationally designed. Without such further knowledge, there would be an unacceptably high likelihood that too little or no attention would be given to problems and areas which might later prove pivotal or, on the other hand, that an undue amount of resources would be expended on problems or areas of relatively little importance to the overall picture. Accordingly a system identification, definition, and description process is required that will provide enough of an understanding of current requirements, objectives and environments to enable a rational data collection effort to be detailed. This immediately suggests a phased structure for the Government Publications Study Project with Phase I being the system description effort and Phase II primarily a data collection effort. A final phase will then be needed to complete analyses, consider alternatives, costing them when possible, and produce a final report presenting an overall systems design for the entire government publications picture. Further comments with regard to each of these three phases follow.

a. Phase I

To develop, in Phase I, the required qualitative and quantitative understanding will require a mix of studies of available literature (especially including the government report literature about government publications' distributions, etc.), opinion gathering, making considerable use of formal interviews, and collections of data, information and opinions by the use of letters and questionnairs. These should seek to develop, insofar as practicable, system diagrams for parts of the overall situation with identification in as much detail as possible of the nature, location, size etc., of the nodes and flows for each different type of government publication of interest. Particular distinction must always be made, of course, between whether the publications are Federal, State or local since the possibilities of beneficial interaction between these may be particularly significant. The total available information, including any such partial system diagrams, should be analysed to develop specific guidelines and hypothesis on which to base the detailed design of Phase II, the main data collection effort.

There will be three kinds of efforts relating to data collection going on in Phase I. The first is that already mentioned, in support of Phase I objectives. The second will be where the system, or part of it, is well enough known so that there is little or no question about the nature, type, amount and value of data to be collected. In such cases there is no need to wait until Phase II; the collection of these kinds of data should be commenced as soon as the proper tools for doing so can be developed. The third kind of effort related to data collection will be contacting, and requesting the cooperation of, representative libraries, information centers and other information handling agencies. It is to be expected that much useful data can be gathered directly on site by such cooperating institutions. Most of the preliminary groundwork toward this data gathering effort should be completed by the end of Phase I.

b. Phase II

Phase II will comprise the bulk of the data collection efforts. Reasonably conventional interviewing and questionnaire techniques will be employed for the most part, together with the seeking of advice from the Advisory Committee, panels, and consultants. The data gathering effort by cooperating libraries and information centers, mentioned above will be part of Phase II. The collected information should be compiled and studied as soon as possible for any impact it might have on yet-to-be-conducted efforts.

It should be noted that the relative roles of inter-

views and questionnaires will interchange between Phase I and Phase II. In Phase I, interviews will play the dominant role, since the primary objective is to develop the best possible general understanding of the existing state of affairs so that more intensive as well as extensive data gathering can be planned effectively. Partly unstructured interviews will best tap the accumulated knowledge of experienced persons. In Phase II, questionnaires will play the dominant role since the primary objectives will be to verify the hypotheses as to the system's structure generated in Phase I and, especially, to develop as much quantitative knowledge about the system and its operation as possible.

To further indicate the thinking of the Design Study Group with respect to the phasing of specific data collection efforts and to constitute a point of departure for the Government Publications Study Project, an additional item has been included in Appendix A. Beside each "x" or set of two or three "x's", following the Roman numerals I or II, is given an indication of the phasing of that particular effort. For example, "I:SS/II:All" would mean that a stratified sample would be taken in Phase I and a 100% "sample" in Phase II.

While most if not all of the actual analysis of returns from questionnaires, interviews, etc. will be completed as a part of Phase II, a specific period is needed in which these separate analyses will be interrelated and interpreted in the light of the overall problem and its various interconnecting aspects. Based on these understandings and on as much advice and consultation as possible, a separate effort must be undertaken to develop, as the final product of the comprehensive study, final recommendations in the form of a system design or designs that will be specific and detailed enough to allow their immediate implementation by any organization or organizations with funds and willingness to implement them. These recommendations should include, where appropriate, recommendations for model statutes and other regulatory material. A national plan of this magnitude and complexity will need a very broad base of support. This can be obtained only through a maximum of direct communication and interaction with those whose interests will be most affected. In order to bring about a consensus that the "comprehensive study" has, in fact been truly comprehensive, and that the final recommendations will be acceptable, reasonable and adequate, special attention to such communication and interaction will be an important part of Phase III.

Recommendation No. 8 The Study should be planned and scheduled for accomplishment in three phases:

Phase I - System identification, definition, and description; Development of sources; Pre-test data collection. (6 months)

Phase II - Main data collection and analysis. (9 months)

Phase III - Recommendations; interaction with concerned agencies (user and producer group) to develop national plan and identify steps for implementation. (6 months)

SECTION IV.C. RECOMMENDATIONS AS TO PRODUCTS

1. Final Report

It is imperative that the resources of the Government Publications Study Project be directed single-mindedly toward the objective of developing a practicable system for the bibliographic control and distribution of Federal, State and local government publications. Therefore the Project's most important single product must be the final report in which it presents the system design specifications, and other recommendations such as for statutes, regulatory measures, etc., necessary to actually implement such a system. While some other reports may be either necessary or desirable, as discussed below, they should not be allowed to divert any more of the Project's attention and resources than absolutely necessary. Any material which has been prepared or published separately from the final report must be listed and described or summarized in the final report. If practicable, the final report should also include a comprehensive and cumulative index to all reports, publications, etc., prepared by the Project.

2. Phase I and Phase II Reports

A report should be issued as soon as possible after the end of Phase I. This should explicitly present and discuss the Project's conclusions and findings as to the nature and details of the existing system or systems, both formal and informal, for distributing and achieving bibliographic control over Federal, State and local government publications. It should also outline in as much detail as practicable the Project's plans for the Phase II data collection effort.

Another report should be issued as soon as possible after the end of Phase II. This should report on the results of the main data collection effort. While the actual data itself, analyses thereof, sample questionnaires, etc., may, if the project so desires, either be deferred to the final report or issued separately, all major data collection efforts not already described in the Phase I report, should be described or summarized. Comments as to their significance and/or success would be useful but might in some cases be premature.

3. Progress Reports

The Project should prepare quarterly progress reports to keep its funding and sponsoring agencies and other interested parties informed. These should be omitted or adjusted if specific reporting requirements of such agencies

would make them redundant or otherwise undesirable. They should at very least list all questionnaires, planned interviews, formal contacts, and general accomplishments. They should also list all publications prepared by the Project during that period including working papers which may not be available for general distribution. If the schedule recommended by Recommendation No. 8 is followed, the second and the fifth quarterly progress reports would be replaced by the Phase I and Phase II reports respectively.

4. Other Reports

It must be left up to the Government Publications Study Project to decide whether or not to issue technical or other reports to present its accomplishments, opinions, etc. The Project must realize however, that it has a great responsibility to make generally available its findings and data. The earlier this can be done, the more the project itself should be able to benefit from the resulting comments, criticism, and other feedback. Certainly any material not issued in the form of such technical or other reports should be appended to or included in the final report.

Recommendation No 9 The principal product of the Study should be a Final Report presenting system design specifications and other recommendations necessary to actually implement a practicable system for the bibliographic control and distribution of Federal, State and local government publications. Other reports should be issued by the Project as necessary to discharge its responsibility to communicate its results to interested parties.

5. Included Specific Products

A number of more specific topics with respect to which the project should either develop system design specifications or make recommendations are listed briefly below. While most of these, if not all, would seem to be most appropriately treated in the final report, the Project may prefer to handle some, or parts of them in some other way. This list is by no means exhaustive; they are only a few of the specific products which, along with others, should be included in the project's output.

a. Relating Primarily To Uses and Needs

* Information showing relative frequencies of use of Federal, State and local documents by categories of kind of document. Among the categories within which such frequencies should be shown are subjects and literary form.

* Information showing relative frequencies of use of Federal State and local documents by categories of kind of user. Among the categories within which such frequencies should be shown are occupation/profession, organizational affiliation, level of responsibility and educational background.

* Recommendations to facilitate accessibility to, and increase use of, government publication in general. Special attention should be given to:

    (1) Reference and Information Service
    (2) Circulation (Intra- and Extra-mural)
    (3) Readers' Advisory Service
    (4) Shelf Arrangements

b. Relating Primarily To Bibliographic Control

* Recommendations as to allocations of responsibility for the compilation and publication of whatever specific bibliographies are needed in connection with government documents.

* Specifications as to needed improvements in existing catalogs, bibliographies, indexes, etc., covering:

    (1) Form and Content of Entries
    (2) Arrangement of Entries
    (3) Frequency and Cumulations
    (4) Subject Coverage
    (5) Various Forms of Literature

* Development of model statutes to serve as the legal basis for the bibliographic control of Federal, State and local documents. These statutes should make provisions for:

    (1) Designation of agency(s) responsible for the compilation and publication of checklists, bibliographies, etc.
    (2) Criteria for inclusion

(3) Enforcement of the statutes
(4) Financial support for implementation of the statutes

* Recommendations as to nationally acceptable standards for checklists, bibliographies, etc.

* Determination as to whether:

(1) Comprehensive single national list
(2) Separate single general lists for each state, or
(3) Both (1) and (2) are needed

* Determination as to whether:

(1) Comprehensive single national list
(2) Separate single general lists for each state
(3) Geographical units, or
(4) (1), (2) and (3) are all needed

c. Relating Primarily To Distribution

* Specify actions necessary to implement the Depository Library Act of 1962 and/or comparable statutes that exist or are being recommended at the Federal, State and local levels of government

* Development of model statutes to serve as the legal basis for the distribution of Federal, State and local government documents. At the Federal level this should include recommendations as to amendments to or replacement(s) of the Depository Library Act of 1962. In general these statutes should make provision for:

(1) Agency or agencies responsible for the distribution of documents
(2) The criteria for selecting depository libraries
(3) Criteria for the number and type of depositories (Federal, State and local)
(4) Criteria for the kinds of publications to be distributed
(5) Enforcement of the statutes
(6) Standards
(7) Financial responsibility for implementation of the statutes

SECTION IV.D. RECOMMENDATIONS AS TO SIZE AND DURATION

In order to provide a basis for developing recommendations as to the level of effort required for a government publication study project in terms of size, cost, duration etc., the design study project made assumptions as to total population sizes, numbers of interviews, questionnaires, consultant-days etc., to implement the detailed test specifications shown in Appendix A. These in turn were translated into terms of kind and number of staff and the usual expense items such as travel, communications costs, computer time, etc. The details of these projections and estimates are not given because we feel they would imply an exactitude which is not really attainable in our state of knowledge and understanding of this complex field. Hence it would tend unduly to influence and inhibit the comparable approaches that might be taken by other organizations even if they were based on the details listed in Appendix A. For example, overhead rates vary widely and are dependent on different levels of services and costs. Actually we assumed an overhead rate of just over 50%, which yields an estimate of about $340,000.00 (three hundred forty thousand dollars) for the entire project. This was derived from estimates made for each Phase separately. These, rounded off, were as follows:

Phase I	$ 95,000.00
Phase II	$ 165,000.00
Phase III	$ 80,000.00

We would strongly advise against attempting to fund or otherwise implement the project as three separate modules based on the three phases we have recommended. We would even more strongly advise against contracting the three phases to different contractors. This is because the nature of the project, entailing as it does the evolution of systems design starting with very great uncertainties and ignorances, requires continous and intimate interaction between all different activities and staff members of the project.

The size of staff required again depends on various circumstance peculiar to the performing organization. In general we estimate that the staff required would vary from a low of four to a high of seven and a half "full-time equivelent" professional and semi-professional persons over the course of the project.

Our recommendations as to the duration have already been made known in Recommendation No. 8. The total project would last for 21 months based on six, nine, and six months each, respectively, for the three phases. We feel that these are the very least durations that would allow a high quality product to be developed. While we felt that there were too many uncertainties to permit an explicit use of the PERT technique, we did make a conscious attempt to apply the overall PERT approach and in particular to keep in mind the importance of the critical path concept.

Recommendation No. 10 The Study should be funded in the range of $340,000 for a period of about 21 months for maximum effectiveness. Staff size should be expected to vary during the course of the project from 4 to 8 persons (or their equivalent).

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	User and Needs	Bibliographic Control	Distribution	Technology	Federal	State	Local	General
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	User and Needs	Bibliographic Control	Distribution	Technology	Federal	State	Local	General
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	User and Needs	Bibliographic Control	Distribution	Technology	Federal	State	Local	General
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(b) . Sale and Distribution of Government Publications by the Superintendent of Documents. Hearings before the Committee on House Administration, 84th Cong., 2d sess., 1956. :: 45.			x		x			
(c) . Revision of Depository Library Laws. Hearings before the Committee on House Administration, 85th Cong., 1st sess., 1958.			x		x			
(d) . Revising the Laws Relating to Depository Libraries. H. Rept. 724 To Accompany H.R. 8141, 87th Cong., 1st sess., 1961.			x		x			
U. S. Congress. Joint Committee on Printing. Government Printing and Binding Regulations. April 1, 1963, No. 15, 88th Cong., 1st sess., 1963.			x		x			
U.S. Congress. Senate. Committee on Rules and Administration. Depository Libraries. Hearings before the Committee on S. 2029 and H.R. 8141, 87th Cong., 2d sess., 1962			x		x			
U. S. Library of Congress. Annual Report of the Librarian of Congress of the Fiscal Year Ending June 30, 1967. Washington: Government Printing Office, 1968.								x
(b) . Serials Division. Popular Names of U. S. Government Reports: A Catalog. Compiled by Donald F. Wisdom and William Kilroy. Washington: Government Printing Office, 1966.		x			x			

	User and Needs	Bibliographic Control	Distribution	Technology	Federal	State	Local	General
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U. S. Statutes at Large. Vol. XXVIII, 601-24::44-46.			x		x			
Van de Voorde, Philip. "'Official Use' Trend in the Monthly Catalog of United States Government Publications," Library Resources and Technical Services, XIV (Summer, 1970), 455-7.				x	x			
Warner, Edward. "Government Documents: Congressional Committee Hearings," RQ, VII (Winter, 1967), 95-8.				x	x			
Wilcox, Benton H. "Easy Access to U.S. Documents," Wisconsin Library Bulletin, LXIII (March, 1967), 87.		x	x		x			
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Wood, Jennings. United States Government Publications: A Partial List of non-GPO Imprints. Chicago: American Library Association, 1964.			x		x			

APPENDIX A

DETAILED TASK SPECIFICATIONS

(For further explanation see pages 68 and 69)

APPENDIX I - CHECKLIST OF TASK SPECIFICATIONS

Key:
- S = Sample
- SS = Stratified Sample
- I & II = Phases I & II
- F,S,L = Federal, State, local
- Sm = Small

	Uses/Needs				Bibliographic Control				Distribution			
	F	S	L		F	S	L		F	S	L	
A. Methodology												
1. Pre-tested questionnaires to:												
a. State libraries	x	x	x	I:S/II:All					x	x	x	I:S/II:All
b. Federal Regional Depository Libraries	x	x	x	I:S/II:All					x	x	x	I:S/II:All
c. Other Federal Depository Libraries	x	x	x	I:SS/II:All					x	x	x	I:SS/II:All
d. Federal non-depository libraries	x	x	x	I:SS/II:All								
e. Special Libraries	x	x	x	I:SS/II:SS					x	x	x	I:SS/II:SS
f. Specialized information centers	x	x	x	I:SS/II:SS								
g. Depository libraries for state publications		x	x	I:SS/II:SS					x	x	x	I:S/II:SS
h. Various kinds and levels of Federal State and Local agencies--include information on												

(A. 1. Questionnaires, cont.)

(1.) Problems encountered in supplying a central agency with at least one copy of all of their publications falling within carefully defined catagories

(2.) Problems that arise or could arise in supplying the GPO or designated agencies with the number of depository copies for distribution which are now or may be required.

i. Government or commercial agencies which compile and publish bibliographies, catalogs, checklists of documents of whatever literary form or subject.
- - Information will be sought on the intellectual, administrative, technical and financial problems regarding the:

(1.) Identification of Federal, State and Local Publications

(2.) Access to the physical items

(3.) Bibliographic description of items in a nationally acceptable standardized form

	Uses/Needs			Bibliographic Control			Distribution		
	F	S	L	F	S	L	F	S	L
				x	x	x	I:SS/II:SS		
				x	x	x	I:SS/II/SS		
				x	x	x	I:SS/II:SS		
				x	x	x	I:SS/II:SS		
				x	x	x	I:SS/II:SS		
				x	x	x	I:SS/II:SS		

(A. 1. Questionnaires, cont.).

	Uses/Needs			Bibliographic Control				Distribution			
	F	S	L	F	S	L		F	S	L	
(4.) Indexing or abstracting				x	x	x	I:SS/II:SS				
(5.) Compilation of bibliographies catalogs, etc.				x	x	x	I:SS/II:SS				
(6.) Publication of bibliographies catalogs, etc.				x	x	x	I:SS/II:SS				
(7.) Staffing				x	x	x	I:SS/II:SS				
(8.) Financing the total bibliographic activity connected with the compilation and publication of bibliographies and catalogs, etc.,				x	x	x	I:SS/II:SS				
j. Non-depository libraries of various types and sizes								x	x	x	I:SmSS/II:SS
k. Major federal agencies which produce documents outside of GPO								x			I:SmSS/II:SS
l. Agencies responsible for the distribution of documents									x	x	I:SS/II:SS
m. Major government agencies which produce documents but do not supply copies to any distribution agency									x	x	I:SS/II:SS
n. City library of each capital city								x	x	x	I:S/II:All
o. City libraries serving population of more than 500,000								x	x	x	I:S/II:All

(A. Methodology, cont.)

2. Interviews in the visited libraries with appropriate staff of:

	Uses/Needs				Bibliographic Control				Distribution			
	F	S	L		F	S	L		F	S	L	
a. Leg. Ref. & Res. Serv. - (L.C.)	x	x	x	I/II								
b. Gift & Exchange Division (L.C.)					x	x		I/II	x	x		I/II
c. Legislative, Reference, & Research Services - (State Libraries)	x	x	x	I:SmS/II:All								
d. State Libraries	x	x	x	I:SmS/II:All	x	x	x	I:SmS/II:All	x	x	x	I:SmS/II:All
e. Document collections in State Libraries	x	x	x	I:SmS/II:All	x	x	x		x	x	x	I:Sm/II:All
f. Federal Depository Libraries	x	x	x	I:SmSS/II:SS					x	x	x	I:SmSS/II:SS
g. Federal Regional Depository Libraries	x	x	x	I:SmSS/II:All					x	x	x	I:S/II:All
h. Non-Depository Libraries	x	x	x	I:SmSS/II:SS					x	x	x	I:SmSS/II:SS
i. Special Libraries	x	x		I:SmSS/II								
j. Specialized Information Centers	x	x		I:SmSS/II:SS								
k. State Depository Libraries	x	x	x	I:SmS/II:All					x	x	x	I:SmSS/II:S
l. National Libraries	x	x	x	I:All/II:All								
m. Congressional Joint Committee on Printing									x	x	x	
n. Superintendent of Documents					x			I/II	x			I/II

(A. 2. Interviews, cont.)

	Uses/Needs				Bibliographic Control				Distribution			
	F	S	L		F	S	L		F	S	L	
o. Documents Expediting Project - (L.C.)					x			I/II	x			I/II
p. Representative Federal, State, and local agencies producing significant numbers of documents.					x	x	x	I:SmSS/II:SS	x	x	x	I:SmSS/II:SS
q. Each State Library responsible for compilation of checklists, bibliographies, catalogs, etc., of documents					x	x	x	I:SmSS/II:All				
r. Head of Acquisitions Department of N. Y. Public Library and/or the Editor of Municipal Reference Library Notes			x	I/II	x	x	x	I/II			x	I/II
s. Librarians and others engaged in compiling current bibliographies of government documents					x	x	x	I:SmS/II:SS				
t. Federal agencies; publications officers									x			I:SmS/II:SS
u. Agencies responsible for the distribution of State publications										x		I:SmS/II:S
v. Representative libraries which might be regarded as "depositories" for local docs.											x	I:SmS/II:SmS
w. Heads of Acquisitions/Documents Departments of all public libraries serving a population of over 500,000 persons, such as the Chicago Public Library, the N. Y. Public Library, etc.											x	I:SmS/II:S

(A. Methodology, cont.)

	Uses/Needs			Bibliographic Control			Distribution		
	F	S	L	F	S	L	F	S	L
3. Consultations with leading specialists	x	x	x I/II	x	x	x I/II	x	x	x I/II
4. Local use data collected by libraries and information centers	x	x	x I/II						
5. Panels and Advisory Committee	x	x	x I/II						
6. Survey of the periodical and monographic literature on:									
a. Bibliographical control of government publications				x	x	x I/II			
b. Distribution of government publications							x	x	x I/II
c. Problems of acquisition of government publications				x	x	x I/II	x	x	x I/II
B. Analysis (of)									
1. Materials to be provided by libraries and information centers visited, about their policies, procedures, and services.	x	x	x I/II	x	x	x I/II	x	x	x I/II
2. Relevant community surveys.	x	x	x I/II						
3. Use studies of State and local publications.	x	x	x I/II						
4. Recent sample issues of titles of available bibliographies, catalogs, etc., with primary purpose of listing government publications.				x	x	x I:SmS/II:S			

(B. Analysis (of) cont.)

	Uses/Needs			Bibliographic Control			Distribution			
	F	S	L	F	S	L	F	S	L	
5. Various published and/or unpublished reports, statistical information, studies, and any other written information, by:										
a. Selected government agencies, relating to their document distributing policies and							x	x	x	I:SmSS/II:S
b. Depository libraries, relating to their acquisition policies and procedures for documents.							x	x	x	I:SmSS/II:S
c. A stratified sample of non-depository libraries relating to their acquisition policies and procedures for documents.							x	x	x	I:SmSS/II:S